THE INFLUENCE OF FREE FANTASIA ON WOLFGANG AMADEUS MOZART'S FANTASIES AND PRELUDES

by

PEI-HSIN KAO

A document submitted to The Johns Hopkins University in conformity with the requirements for the degree of Doctor of Musical Arts.

Baltimore, Maryland

April, 2016

ABSTRACT

The fantasy has been associated with improvisation since the sixteenth century. Carl Philipp Emanuel Bach (1714-1788) defined a specific type of fantasy known as "The Free Fantasia" in his book, *Versuch über die wahre Art das Klavier zu spielen* (1753/1762). According to C.P.E. Bach's definition, a free fantasy is an unbarred work that contains bold modulations. Thirty years later, Daniel Gottlob Türk (1750-1813) not only confirmed C.P.E. Bach's definition, but also added a definition concerning strict fantasies in his pedagogical book *Klavierschule* (1789). In short, the free fantasy contrasts with the strict fantasy because it does not have a specific meter, theme, or detailed plan.

Wolfgang Amadeus Mozart (1756-1791), as part of the new generation of composers, absorbed elements of C.P.E. Bach's free fantasy in his fantasies and preludes which were composed between the years 1777 and 1785. The influence of C.P.E. Bach's free fantasy is discernible not only in two different genres—Mozart's fantasies and preludes—but also in his free fantasies and even, to a certain degree, in his strict fantasies. By exploring the origins of the fantasy genre, the thread of the free

fantasy, and the relationship between the fantasy genre and prelude, this thesis reveals the evolution of free-fantasy elements in W.A. Mozart's fantasies and preludes within the context of C.P.E. Bach's conception of the free fantasy.

ACKNOWLEDGMENTS

I would like to acknowledge my family members, mentors, and other professionals for their ongoing support. My parents and grandparents provided me with a solid foundation built on moral, intellectual, physical, social, and aesthetic values. They gave me the freedom and support to pursue the development of my talent and passion.

During my study at Peabody Conservatory, I have been afforded the opportunity to work with gifted professionals, including: my musicology advisor, Dr. Susan Weiss, who gave me the freedom to research a variety of topics and supervised my writing of the thesis; my music theory advisor, Dr. Mark Janello, who enhanced my theory study and discussed theoretical analysis of this document; my advisor-at-large, Dr. Kip Wile, who challenged me to defend my work; my piano teacher, Mr. Alexander Shtarkman, who understood my unusual background and imparted his exceptional skill and knowledge while bringing me to a new level of musicianship. Special thanks go to Dr. Ron Levy, who offered assistance with my thesis writing, helped with editing and critical thinking; Ms. Kathleen L. Snyder, M.S. in Education at The Johns Hopkins University, who played an integral role in editing this document.

TABLE OF CONTENTS

TABLE OF CONTENTS (cont.)

LIST OF FIGURES

LIST OF FIGURES (cont.)

INTRODUCTION

FANTASY AND IMAGINATION

The "fantasy," by its very name, suggests a protean or elusive art form. The origin of the word in art relates to a thing of the mind; the link between fantasy and imagination is therefore inseparable.[1] The term, sometimes referenced as a "fantasia," or simply as a "fancy," appears first as *Phantazein* in ancient Greek society, which means "to make visible." More specifically, the "musical fantasy" could also be seen as *fantasia* in Spanish and Italian, *fanstasie* in German, and fantasy in English. These three written forms all point to the same musical genre throughout the long span of musical history. The differences are influenced by historical background, culture, and period of time. In order to respect the usage from the original user, the terminology from the original historical account will not be modified.

The fantasy has its roots in Greek tragedy that originated in the worship of the fantastic, specifically that the original purpose of the Greek tragedy was to honor Dionysus, the Greek god of wine making. It is a drama that involves music and

[1] *The Oxford English Dictionary Online*, s.v. "Imagination, n.," accessed July 28, 2015, http://www.oed.com/view/Entry/91643?redirectedFrom=imagination. "The power or capacity to form internal images or ideas of objects and situations not actually present to the senses, including remembered objects and situations, and those constructed by mentally combining or projecting images of previously experienced qualities, objects, and situations."

literature, the performance of which is similar to the modern opera. The idea of a fantasy is viewed in a variety of areas that feature creative imagination, social relationships, and emotional expression in response to a person's original desire. Similarly, the Greek philosophical tradition is just as deeply rooted in an exercise of imagination. A fantastic imagination was the source for envisioning the ideal society of Plato's *Republic*, intended as a model for education in reality. Fantasy's roots are complex because they have a basis in both the imaginative and mythological as well as the rational and philosophical.

While composers use fantasy to express their personal ideas through music all the time, it is important to define the meaning of the term "fantasy" when used as a title in music. The title "fantasy" is "often given to pieces of no fixed form, implying that a composer wishes to follow the dictates of his or her freely ranging imagination."[2] In this definition, "no fixed form" and "free ranging imagination" indicates that it is not necessary to follow any conventional writing in the genre of the musical fantasy. Thus, concerning the musical fantasies related to the Greek concept from the fifteenth century, contemporary musicologist, harpsichordist, and organist Pieter Dirksen insists:

[2] *The Oxford Companion to Music*, "Fantasia," by Denis Arnold and Lalage Cochrane, accessed July 29, 2015, http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e2413.

> It seemed perfectly natural to associate the aspect of "highest achievement" with the most elaborate style of [making the work] of that time… Individually, the form of the fantasia also demanded a certain degree of originality from the [author/artist].[3]

The fantasy is a creative and imaginative element combined with inspirational and surprising ideas. It always acts as a stimulus between the fantastically-created creature and the human understanding that is gained from one's personal living experience.[4] More importantly, the writing of a musical fantasy could be changed, and its creative and imaginative nature remains. This enables the fantasy to have survived from antiquity to the present in different mediums.

Philosophy and Literary Fantasy in the Eighteenth-Nineteenth Century

Greek tragedy and mythology reveal the roots of the imaginative quality of the modern fantasy. In *The Birth of Tragedy from the Spirit of Music* (1872), nineteenth-century German philosopher Friedrich Wilhelm Nietzsche (1844-1900) clearly

[3] Pieter Dirksen and Harald Vogel, introduction to *Complete Keyboard Works Vol. 2*, by Jan Pieterszoon Sweelinck (Wiesbaden: Breitkopf and Härtel, 2005), 22.

[4] Eric S. Rabkin, "Abstract," in *Fantasy and Science Fiction: The Human Mind, Our Modern World*, accessed January 15, 2013, https://www.coursera.org/course/fantasysf (written abstract no longer available to the public). Eric S. Rabkin, Professor of English and Art & Design at the University of Michigan states: "Fantasy is a key term both in psychology and in the art and artifice of humanity."

recognized the spirit of duality from antiquity. Nietzsche claims that Dionysus and Apollo are the two aesthetic forms that exist in art: Dionysus features the beauty of primitive emotion, and Apollo depicts the beauty of structured representations.[5] These two competing yet complementary impulses define a tension inherent in this Greek art form and served as the foundation for the development of Western philosophy. It explains centuries of art, which were newly appreciated in Nietzsche's day, and it also helps distinguish the differences between "imagination" and "fancy" within the fantasy genre as defined by nineteenth-century English philosopher and poet Samuel Taylor Coleridge (1772-1834).

Coleridge explains that "imagination" has two meanings: the primary is an active creation and the secondary is an echo of the first creation. Conversely, the "fancy" or "fantasy," "juxtaposes images, but does not fuse them into a unity."[6] As such, both deal with creative elements. "Imagination" builds upon its creativity, while "fancy" consists of multiple unrelated creative ideas. Therefore, in terms of abstract activity, "imagination" and "fancy" are similar but subtly different. Consider Dan Vogel's

[5] *The Birth of Tragedy* is Nietzsche's first book that discusses two aesthetic forms in arts, particularly in music. Nietzsche was close friends with Richard Wagner; therefore, Wagner wrote a review for this book, and some of the musical aesthetics in Nietzsche's book were confirmed by Wagner.

[6] Dan Vogel, "The Fancy and the Imagination and the Teaching of Literature," *Journal of Aesthetic Education.* vol. 15, no. 1 (Jan., 1981):7-10, accessed July 28, 2015, http://www.jstor.org/stable/3332206.

explanation of an excerpt from William Shakespeare's (1564-1616) *Venus and Adonis* in support of Coleridge's discussion:

> **Fancy**: Full gently now she takes him by the hand,
> A lily prison'd in a goal of snow,
> Or ivory in an alabaster band;
> So white a friend engirts so white a foe.
>
> **Imagination**: Look! How a bright start shooteth from the sky,
> So glides he in the night from Venus' eye.
> – Shakespeare, *Venus and Adonis*[7]

In Dan Vogel's summary, "imagination" is more subjective as an original and inventive creature; in contrast to "fancy," which is embedded with known common experiences in memory.

As the forces behind philosophy and literature moved from Rationalism to Romanticism during the Enlightenment movement in Europe, the fantasy genre gradually revealed peoples' desire for healing and hope. The philosophies of "imagination" and "fancy," with their uncertain emotions, moved initially from visible artistic crafts to the invisible musical domain. The supernatural, myths, fairy tales, and even scientific imagination create either an ideal or escapist world to achieve these

[7] Ibid.

desires. Thus, the content of the fantasy changed according to the social and human psychological condition, and as an art form bridged both literature and music.

Musical Fantasy and This Research

Music is a more abstract art form than literature. It is more difficult to make the audience aware of the subtlety and imagination in this art form. In literature, "fantasy" demonstrates "fancy" and "imagination" through creative writing. However, in music, it characterizes newly invented or imaginative ideas either solely through spontaneous performance, improvisational or semi-improvisational activity, or as indicated by its title. A similar relationship between imagination and fancy therefore can be seen in musical compositions. The easiest way to distinguish the differences between imagination and fancy is through a piece's title. Pieces of imagination have clear programmatic titles, while pieces of fancy are titled "fancy," "fantasia," or "fantasy." When another appropriate title is lacking, fantasy is still called a "fancy" or "fantasia."

Over time, while keeping the creative and imaginative nature, composers added their own developments and modifications to the keyboard fantasy based upon their personal background. In addition, along with the creation of the fortepiano between the fifteenth and eighteenth century, the physical improvements made to keyboard

instruments established a new path and expanded the keyboard music industry, thus changing its musical design.

In order to reveal the evolution of the eighteenth century Germany keyboard fantasy, the first chapter gives an overview of the historical accounts of keyboard fantasies in various countries up to the eighteenth century. It shows that some of the composer-performers at that time mixed the usage of the prelude, fantasy, and capriccio together. The second chapter defines the meaning and presents the so-called "ideal" usage of the fantasy, the prelude, and the capriccio in two eighteenth-century German keyboard treatises. The third chapter aims to establish the thread of the "free fantasy" genre and its origin. By comparing the information, we are then able to observe the changes of audience's aesthetic desire within this period of time. Successively, the influence of Carl Philipp Emanuel Bach's (1714-1778) free fantasy in Wolfgang Amadeus Mozart's (1756-1791) keyboard fantasies and preludes will be examined and established in the fourth chapter. By observing the keyboard fantasy over a long time span, we can see fantasy elements gradually fusing with the prelude in the second half of the eighteenth-century.

CHAPTER 1

AN OVERVIEW OF THE HISTORICAL ACCOUNTS OF KEYBOARD FANTASY TO THE EIGHTEENTH CENTURY

The form of musical fantasy is largely associated with improvisational music. The improvisational fantasy may have existed before it was actually notated as a musical score. It clearly appears during the sixteenth century as an international genre, and the complexity of the ingredients varies greatly according to a composer's personal taste and cultural environment. The imaginative and creative quality of the musical fantasy established in the Middle Ages was popularly applied in sixteenth century keyboard music.[8] Notably, the performance techniques and imaginative or fanciful qualities of improvisation may be classified into two degrees: technique and imagination. Keyboard fantasies may greatly vary from one other, but there remains a certain consistency within specific cultures.

[8] Lewis Lockwood, *Music in Renaissance Ferrara 1400-1505: The Creation of a Musical Center in the Fifteenth Century* (Cambridge: Harvard University Press, 1984), 204. An earlier mention of fantasia appears in a letter by Gian de Artiganova to Ercole d'Este, Duke of Ferrara, dated September 2, 1502, where he mentions that Heinrich Isaac has been to Ferrara and he has written a motet on a fantasy entitled "La mi la so la so la mi," which is very good, and he wrote it in two days. This is a four-voice composition based on a vocal model that could have been performed by instruments.

Keyboard Fantasy in Spain, England, Netherlands, and Germany

The earliest account of a keyboard score with a title "fantasy" is from Spanish keyboardist Tomás de Santa Maria's (1510-1570) pedagogical treatise, *The Art of Playing the Fantasia* (1565). In this book, Santa Maria presents the rule of performance practice for teaching improvisational skills in playing imitative and contrapuntal *fantasias*.[9] Although this is a practical manual intended to help someone play the clavichord, it served as a fundamental basis for learning improvisation and playing fugues. According to the assumption that "imagination" is related to "fancy" as part of "the process or the faculty of forming mental representations of things not actually present," Santa Maria represents his imaginative and fanciful ideas as a useful resource in music improvisation.[10]

Several decades later, in his treatise *A Plaine and Easie Introduction to Practicall Musicke* (1597), English composer and organist Thomas Morley (1557-1602) defined the quality of a musical fantasy:

---

[9] Tomás de Sancta Maria, *The Art of Playing the Fantasia*, ed., Almonte Howell and Warren Hultberg (Pittsburgh: Latin American Literary Review Press, 1991), viii. However, according to Santa Maria, his fantasy is "not a freely improvised or as an embellished piece, but is more a newly-composed work based on pre-established rules and practice." This is a keyboard method book that discusses performance problems that are related to hand positions and practical performance suggestions.

[10] *The Oxford English Dictionary Online*, s.v. "Fantasy | phantasy, n.," accessed July 28, 2015, http://www.oed.com/view/Entry/68119?rskey=h64Wxo&result=1. This part of Morley's definition regarding the music fantasy was cited in the music section of *The Oxford English Dictionary Online*.

> The most principal and chiefest kind of musick which is made without a dittie is the fantasie, that is, when a musician taketh a point at his pleasure, and wresteth and turneth it as he list, making either much or little of it according as shall seem best in his own conceit. In this may more art be showne than in any other musicke, because the composer is tide to nothing but that he may adde, diminish, and alter at his pleasure. And this kind will beare any allowances whatsoever tolerable in other musick, except changing the air & leaving the key, which in fantasie may never be suffered. Other things you may use at your pleasure, as bindings with discords, quicke motions, slow motions, proportions, and what you list. Likewise, this kind of musick is with them who practice instruments of parts in greatest use, but for voices it is but seldome used.[11]

According to compositional and performance techniques of that time, Morley describes the musical fantasy as an improvisational composition that does not necessarily follow convention. For him, the only way to present one's imagination is through the work of musical construction. Morley then puts very few restraints upon the form, except for disallowing "changing the air or leaving the key."[12] Therefore, musical fantasies in the late sixteenth century allowed the musician to reveal the subtleties of the expressional changes and let the audience members experience their own fantastic tension-free

[11] Thomas Morley, *A Plaine and Easie Introduction to Practicall Musicke* (Westmead, Farnborough, Hants: Gregg International Publisher Limited, 1971), 296.

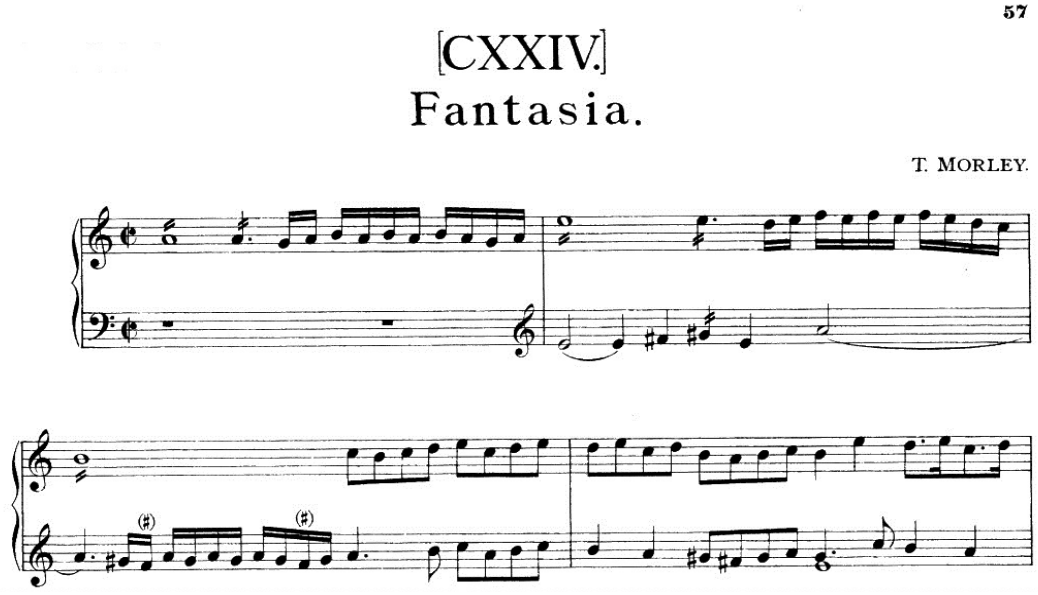
[12] Paul Walker, *Theories of Fugue from the Age of Josquin to the Age of Bach*, (Rochester: University Rochester Press, 2004), 115-116. Refer to Paul Walker's note on quotation from Michael Praetorius (1571-1621) on page 16: "Nevertheless, one must not overstep the mode and the air [Aria], but must remain within the boundaries." According to Walker's note, "air" is "aria" in the late sixteenth and early seventeenth century.

interpretation.

As a testament to their importance in sixteenth- and seventeenth-century England; Morley's compositions, along with William Byrd's (1540-1623) and other composer's compositions, were collected in *The Fitzwilliam Virginal Book*, the most important authentic collection of keyboard music in England.[13] This book contains fantasies from between 1550 and 1620, and also indicates that preludes, fantasies, variations, and dances were common in keyboard music. It is unclear if those *fantasia*s were improvised before being written down. It is possible that some of the pieces in *The Fitzwilliam Virginal Book* may also serve as examples of improvisational study (see Example 1).

[13] Virginal belongs to the harpsichord family. In the Renaissance period, particularly in Queen Elizabeth's period, all keyboard instruments can be called virginal. Contrasting with Morley's simply imitative work, Byrd's fantasies increased the emotional range of the fantasy and explored its sectional structure.

Ex.1 Thomas Morley's *Fantasia* in *The Fitzwilliam Virginal Book*, mm. 1-4: imitative and contrapuntal writing



As explained before, technique in performance and composition, imagination in improvisational quality and creative vision are cleverly presented in music in *The Fitzwilliam Virginal Book*. In terms of technique, fantasies in *The Fitzwilliam Virginal Book* included rapid scales and broken chords with imitation from the plucked instrument. Among these, some pieces had been changed from strict counterpoint into thorough bass writing. In terms of the connotations associated with the title "fantasia," some of the fantasies have subtitles, which support imaginative ideas that can be expressed through musical and emotional designs. This simple description illustrates the free improvisational qualities characteristic of the fantastic ideas of the later centuries.

In addition to works by Morley and Byrd, *The Fitzwilliam Virginal Book* includes works by Dutch composer Jan Pieterszoon Sweelinck (1562-1621) whose fantasies also contain rapid running passages, broken chords, and imitative writing.[14] Historic accounts credit Sweelinck with being an excellent improviser. He transformed vocal polyphony into the keyboard music and, in the early seventeenth century, wrote down his improvised keyboard compositions by following keyboard compositions from England.[15] Sweelinck's function as a bridge between periods is clearly seen in the secular madrigal characterized by its songful melody in addition to toccata-style passage writing with elaborate figurations.[16] His compositions incorporate elements specifically for the organ and harpsichord according to the register of the keyboard with the specific pedal-note writing.[17] One of Sweelinck's contributions was to introduce organ contrapuntal texture into Germany.[18] He deeply influenced the later North German

[14] The early stage of the fantasy is entirely imitative, where the fugue employs the same compositional technique in three sections with developed episodes in between. Sweelinck's fantasies have three imitative sections without developing episodes. This might also be one of the reasons why the improvisational fantasy could be considered a prelude that prefaces a fugue. In the sixteenth century, the fantasias in *The Fitzwilliam Virginal Book* have some imitative fugal entries lacking a development section.

[15] Dirksen, op. cit., 10. "Sweelinck was foremost a brilliant improviser, and it is very likely that his keyboard playing was limited exclusively to improvisation for several decades. Around the turn of the century, Sweelinck increasingly came into contact with other tradition that devoted themselves to the 'written' work as well as improvisation."

[16] Toccata is a composition that presents the performer's virtuosic techniques. The elements of composition in the Baroque period usually contain odd figurations, arpeggios, and running passages.

[17] Dirksen, op. cit., 208-212.

[18] Willi Apel, *Masters of the Keyboard: A Brief Survey of Pianoforte Music* (Cambridge: Harvard

organ school of the Baroque period, which included composer Johann Sebastian Bach (1685-1750), another great keyboard improviser.[19]

The compositional design of a keyboard fantasy and prelude depends highly upon personal artistic decisions. The sixteenth-century keyboard fantasy was generally an independent piece, as made apparent in *The Fitzwilliam Virginal Book*, while some other compositions such as intonazione, intrada, ricercare, and toccata were categorized as prelude-type compositions.[20] However, there are other cases and examples from the early sixteenth century that presented the *fantasia* as both a prelude and a separate fugue.[21] The prelude originally functioned as a transitional piece to check the tuning of the instrument, to exercise the fingers, and to diminish the boredom of the audience who were waiting to hear a work of lute and/or organ music. Thereafter, in the late Baroque period, the prelude was occasionally combined with a fantasy—J.S. Bach began to vary his titles for preludes to include toccata and fantasy (*fantasia*), with contrasting or

---

University Press, 1982), 75. Sweelinck was referred to as "deutscher Organistenmacher, the German-organists' maker."

[19] John Walter Hill, *Baroque Music: Music in Western Europe, 1580-1750* (New York: W.W. Norton, 2005), 154.

[20] *Grove Dictionary of Music Online*, s.v. "Prelude," by David Ledbetter and Howard Ferguson, accessed July 29, 2015, http://www.oxfordmusiconline.com/subscriber/article/grove/music/43302. These compositions had improvisatory, contrapuntal and chordal traits.

[21] Willi Apel, *The History of Keyboard Music to 1700*, trans. Hans Tischler (Bloomington: Indiana University Press, 1972), 205-206.

related ideas from the paired fugue.[22]

In another case, with the purpose of compiling a technical and aesthetic pedagogical lesson book, J.S. Bach collected 15 *praembulae* and 15 *fantasia*s, later called *Inventions and Sinfonias*, in *Clavierbüchlein* for his son Wilhelm Friedemann Bach (1710-1784) to study.[23] The two-part preludes and three-part fantasies focus on the writing of motives and contrapuntal devices as means of demonstrating musical ideas and their development. The *Fantasias (Sinfonias)* here are strictly designed. They contain a fantasy spirit like his other improvised fantasies, and their function resembles Santa Maria's method book in the sixteenth century. From this point of view, it would not be surprising to assume that J.S. Bach changed the title from *Fantasias* to *Sinfonias*, with the intention of distinguishing the difference between the improvisational fantasy and the title of pedagogical *Fantasias (Sinfonias)*.

[22] George J. Buelow, *A History of Baroque Music* (Bloomington: Indiana University Press, 2004), 513.

[23] Yo Tomita, "The Inventions and Sinfonias BWV 772-801," in *J. S. Bach: Inventions and Sinfonias, Masaaki Suzuki, Harpsichord, BIS-CD-1009*, accessed July 29, 2015, http://www.qub.ac.uk/~tomita/essay/inventions.html#2. J.S. Bach renamed *Fantasias* as *Sinfonias* by himself in 1723.

Keyboard Fantasy and Its Relationship to the Prelude and Capriccio

The relationship between the fantasy, capriccio, and prelude was found in the late sixteenth-century historical accounts. Morley defines fantasy as a work characterized by extemporization for the pleasure of both performer and listener; however, he does not describe the prelude and capriccio in *A Plaine and Easie Introduction to Practicall Musicke* (1597).[24] Decades later, in *Termini musici*, the third volume of *Syntagma Musicum* (1619), German composer Michael Praetorius (1571-1621) refers to the capriccio as a fantasy, more specifically, a proper fantasy that allows one to display the artistry and ingenuity with flexibility:

> *Fantasia, more properly Phantasia: Capriccio. Capriccio or improvised Phantasia*: when one takes up a fugue to treat it according to one's own pleasure but does not dwell on it very long. Rather, he soon passes on to another fugue in whatever way occurs to him. For just as in a 'fugue proper, no text may be used, so that one is not ties down by any words. One may make much or little, digress, add on, take way, or return however he refers. One can display very well his artistry and ingenuity in such fantasies and capriccios, since everything that is tolerable in music (tied dissonances [i.e., suspensions], proportions, etc.) may be used without hesitation. Nevertheless, *one must not overstep the mode and the air [Aria], but must remain within the boundaries*.[25]

[24] Morley, op. cit., 296.

[25] Walker, op. cit., 115-116 (my italics).

In Praetorius' explanation, the capriccio similarly expresses the whimsical and fantastic character that resembles the fantasy. He added his personal insight that the capriccio "must not overstep the mode and the air [Aria], but must remain within the boundaries." Praetorius' definition of capriccio follows Morley's point of view of fantasy except in the restriction of the mode. The comparison of the definitions between Morley's fantasy and Praetorius' capriccio assists in clarifying the role of a capriccio in the fantasy genre. However, Morley's omission of a description of the prelude simply left an open space for Praetorius to connect the prelude with other genres. Praetorius only directly classified the fantasy and capriccio under one of the three chapters titled "prelude."[26] Consequently, Praetorius' problematic classification of *fantasia* created confusion for later musicians, as it was also against some of the *fantasia* writing of *The Fitzwilliam Virginal Book*.

[26] Michael Praetorius, *Syntagma Musicum III*, trans. Jeffery T. Kite-Powell (New York: Oxford University Press, 2004), 38, 40. Praetorius did not define the prelude, but he categorized several types in three chapters: 1. Chapter VIII: Concerning Free-Standing Preludes, such as Fantasias, Fugues, Sinfonias, and Sonatas. 2. Chapter IX: Concerning Preludes to Dances, Such as Intrada. 3. Chapter X: Concerning Preludes to Motet or Madrigals, Such as Toccatas.

One hundred year later after Praetorius, Joseph Haydn (1732-1809) wrote:

> I sat down, began to improvise [phantasiren], sad or happy according to my mood, serious or trifling. Once I had seized upon an idea, my whole endeavor was to develop and sustain it in keeping with the rules of art. Thus I sought to keep going, and this is where so many of our new composers fall down. They string out one little pieces after another, they break off when they hardly begun, and nothing remains in the heart when one listened to it.[27]

Haydn used the word "phantasiren," a verb form of the word "fantasy," as a composer-performer when he described his improvisational activity. From this, we can conclude that "phantasiren" was part of the creative daily life in eighteenth-century Germany. In addition, Haydn did not clearly state what genre or piece he was working on, and therefore the movement of "phantasiren" possibly can be used in making preludes, fantasies, and capriccio as they are required to have the feature of improvisation.

[27] Gretchen A. Wheelock, "Mozart's Fantasy, Haydn's Caprice: What's in a Name?" In *The Century of Bach and Mozart: Perspectives on Historiography, Composition, Theory, and Performance*, ed., Sean Gallagher, Thomas Forrest Kelly, and Christopher Wolff (Cambridge, Mass.: Harvard University Department of Music, 2008), 317.

CHAPTER 2

A FANTASY OR A PRELUDE? AETHETIC CHANGES AMONG TWO EIGHTEENTH-CENTURY KEYBOARD PEDAGOGICAL ACCOUNTS

Carl Philipp Emanuel Bach's *Essay on the True Art of Playing Keyboard Instruments* (1752/1762) and Daniel Gottlob Türk's (1750-1813) *School of Clavier Playing* (1789) were the most important and popular keyboard pedagogical treatises in the late eighteenth and early nineteenth centuries. C.P.E. Bach's *Essay* was studied by great musicians such as Joseph Haydn, Wolfgang Amadeus Mozart, Ludwig van Beethoven (1770-1827), and Carl Czerny (1791-1857).[28] It is clear that Haydn purchased and studied C.P.E. Bach's treatise and applied his methods successfully in his string quartet. Although they had never met, C.P.E. Bach acknowledged Haydn to be his pupil.[29] W.A. Mozart also commented that "[C.P.E.] Bach is the father, we are the boys. Whoever among us knows the proper things has learned them from him."[30] C.P.E. Bach's *Essay* proves to be one of the most influential pedagogical resources for the younger generation of composers who were clearly in the process of defining their own

[28] Karl Geiringer, *Joseph Haydn and the Eighteenth Century: Collected Essays of Karl Geiringer*, ed., Robert N. Freeman (Warren, MI: Harmonie Park Press, 2002), 200.

[29] Georg August Griesinger, *Haydn: Two Contemporary Portraits*, ed., Albert Christoph Dies and Vernon Gotwals (Madison: University of Wisconsin Press, 1968), 95-96.

[30] Geiringer, op. cit., 198-199.

musical language and expression.

Several decades after C.P.E. Bach's *Essay*, German theorist and organist Daniel Gottlob Türk, an exact contemporary to W.A. Mozart, published his pedagogical treatise, *School of Clavier Playing* (1789). Türk's treatise includes the principles and the musical interpretation of piano performance; moreover, it provides a compilation of the musical terminology and a summary of the aesthetics in the late eighteenth century. C.P.E. Bach briefly compared the fantasy and the prelude and introduced his newly-invented "free fantasy." However, Türk offers an objective perspective of the fantasy, prelude, and capriccio. Further, Türk redefined the fantasy and the prelude, concluding that these two genres have essentially melded with each other.

Changes in the musical aesthetic of keyboard fantasies and preludes must have been very obvious in the decades after the publication of C.P.E. Bach's *Essay*. Türk's treatise documents these changes. Therefore, the years of publications of C.P.E. Bach's and Türk's treatises, 1762 and 1789, can be used to establish a timeline framing the musical development of the fantasy and prelude. W.A. Mozart's keyboard fantasies and preludes, composed within this period, precedes Türk's treatise. It is highly possible that Türk had observed how W.A. Mozart developed the fantasy genre past the initial introduction of the free fantasy by C.P.E. Bach. In order to discuss W.A. Mozart's

fantasies and preludes in the next chapter, it is necessary to compare C.P.E. Bach's and Türk's terminology and usage of the fantasy and prelude beyond Morley's and Praetorius' perspectives of the fantasy genre.

Fantasy and Prelude in C.P.E. Bach's Treatise

Both the fantasy and prelude are usually associated with improvisation. However, C.P.E. Bach favors the fantasy, the free fantasy in particular. C.P.E. Bach began composing free fantasies in the 1740s and sought to place his invented term "The Free Fantasia" as the subtitle under the chapter "Improvisation" in Part II of his *Essay* (1762). C.P.E. Bach explains that the free fantasy is unmeasured and moves through more keys than the usual (strict) fantasy, and its central technique of performance is based on the understanding of harmonic progression built upon the figured bass.[31] In order to illustrate the concept of the free fantasy, C.P.E. Bach attached the *Free Fantasy in D Major, H. 160, Wq.117/14*, with its figured bass sketch at the end of that chapter.

In stark contrast to his emphasis on the free fantasy, C.P.E. Bach only briefly

[31] Carl Philipp Emanuel Bach, *Essay on the True Art of Playing Keyboard Instruments*, trans. William J. Mitchell, 1st ed., (New York: W.W. Norton, 1948), 431. C.P.E. Bach also states that the best keyboard instruments for improvisation are the pianoforte and clavichord because "both can and must be well tuned." It is easy to play the harpsichord without nuances of timbre, while the organ has difficulty to control the chromatic progression without being well tempered. "At least, they should not be introduced sequentially, for the tuning of the organ is very rarely tempered."

discussed the prelude in his *Essay*. He addresses the prelude in two instances, in Part I (1752) and Part II (1762). In the "Performance" chapter of the *Essay* Part I, C.P.E. Bach narrowly introduces two descriptions of the prelude's pragmatic function.[32] The first states that an "instrument should be tested beforehand with trills and other ornaments"; the second suggests that "unless the performer finds himself in a particularly favorable frame in mind," those difficult passages should be kept private. They mainly deal with "assur[ing] an agreeable, flowing performance [and] remov[ing] the anxious mien" that affects the performer. In Part I, C.P.E. Bach defined the prelude as a work that addresses technical details in preparing for keyboard performance. Despite the brevity of his description, C.P.E. Bach continues to clarify another feature of the prelude in a collaborative situation. He explains its distinction from the fantasy, as both were considered genres of extemporization.

[32] C.P.E. Bach, op. cit., 151.

C.P.E Bach writes in the second part of his *Essay*:

> There are occasions when *an accompanist* must *extemporize before the beginning of a piece*. Because such an improvisation is to be regarded as *a prelude* which *prepares* the listener *for the content of the piece that follows, it is more restricted than the fantasia*, from which nothing more is required than a display of the keyboardist's skill. The construction of *the former is determined by the nature of the piece which it prefaces*; and the content or affect of this piece becomes the material out of which the prelude is fashioned. But *in a fantasia the performer is completely free, there being no attendant restriction*.[33]

While the prelude can enable a performer to test the keyboard or warm up for difficult passages in solo performances, as addressed in Part I, the prelude can also be extemporized by the accompanist. In contrast, the fantasy does not serve an introductory role in collaborative situations. The prelude may become an attached piece to support the following piece, but a fantasy is free of such affiliation, implying its greater independence.

Interestingly, the distinction between prelude and fantasy may not be based solely on their musical content, which is largely dependent on the interpretational discretion of each performer. C.P.E. Bach apparently considered that both the performer

[33] C.P.E. Bach, op. cit., 431 (my italics).

and composer have far greater interpretational freedom with the fantasy than the prelude. He developed his concept of the free fantasy and finally illustrated his ideal example years later in the second part of his *Essay*. In fact, elements of the fantasy have, to a certain degree, already been employed in the prelude at an earlier time. In the footnotes of the translated edition of C.P.E. Bach's *Essay*, editor William J. Mitchell mentioned that some of C.P.E. Bach's basic examples for extemporizing the free fantasy had already been used as theoretical examples during the seventeenth and eighteenth centuries. Composer and theorist John David Heinichen (1683-1729) had also suggested using some of these elements in improvised preludes.[34] Therefore, similar technical display may appear in both the fantasy and the prelude. According to C.P.E. Bach, the only factor that distinguishes the fantasy and the prelude is determined by the nature of the piece—with the prelude, the content is bound by the material from the following composition.

Fantasy and Prelude in Türk's Treatise

Written almost three decades after the publication of C.P.E. Bach's *Essay*, Türk's published *School of Clavier Playing* covers keyboard performance practice and

[34] C.P.E. Bach, op. cit., 431n.

definition of musical terminology related to the late eighteenth-century style. Since C.P.E. Bach had already explained the free fantasy in great detail in the "Improvisation" chapter of his *Essay*, Türk simply summarized and enhanced the description of the differences between the free and strict genres of the fantasy. Türk explicitly marks the differences between free and so-called strict fantasy, and describes the terms *fantasie* and *praeludium* separately in the appendix:

> The **fantasie**, for the most part, is first contrived during the performance, but there are also fantasies which, like other compositions, have already been composed and notated. *A fantasie is called free when its creator neither holds to a certain main subject(theme) nor to meter or rhythm* (although for some thoughts a meter could be used,) when he *roams around his modulations*, when he *expresses various and often contrasting characters*, in short, when he *follows his whims completely without attempting to work out a specific plan*. *Those fantasies are called strict in which a meter is fundamental, in which there is a greater adherence to the law of modulation*, and in which a greater unity is observed, etc.[35]

[35] Daniel Gottlob Türk, *School of Clavier Playing*, trans. Raymond H. Haggh (Lincoln: University of Nebraska Press, 1982), 389 (my italics).

> The **praeludium (Vorspiel)** *has much in common with the fantasie*, for example, *the lack of restriction as regards the meter and the modulation*, etc. *The character of a praeludium*, which some past composers joined with a fugue, *is for the most part very indeterminate*. It stands to reason that organists should, in preluding before hymns, take the content of the following hymn into consideration. *The customary preluding of instrumentalists before a performance is quite unbearable since even without this the listeners have already endured enough during their loud and long tuning of instruments*.[36]

From these contemporary definitions of musical terms, one may understand the subtle aesthetic shifts of musical understanding that take place in the decades between C.P.E. Bach and Türk. Although Türk did not acknowledge C.P.E. Bach in his definition of the fantasy and prelude, he was aware of his predecessor's authoritative text. In terms of the fantasy, Türk confirmed C.P.E. Bach's classification with the distinction between strict and free. Words such as "roams" and "whims" convey the spontaneity and immeasurable qualities of the free fantasy. On the other hand, Türk departed from C.P.E. Bach's view of the prelude; he provided an update of the use of prelude and its intricate relationship with the fantasy. While noting that "The praeludium (Vorspiel) has much in common with the fantasie," Türk claims that "The customary preluding of instrumentalists before a

[36] Ibid. (my italics).

performance is quite unbearable." This deliberately shows that the prelude could contain "fantastic or magical" elements to entertain the audience. Therefore, the function of the prelude remains, but the content has resembled a fantasy.

Although their origins differ, the fantasy and the prelude became more similar and less distinct in the late eighteenth century. This phenomenon was possibly caused by the influence of the audience. One of the original uses of the prelude, besides tuning, was to reduce the boredom of the audience. The audience generally preferred the extemporized prelude influenced by the more liberal fantasy. According to C.P.E. Bach, a prelude is no more than technical display, as it is restricted to the material of the composition that follows. However, several decades later, Türk mentioned that the "customary preluding of instrumentalist before a performance [is] quite unbearable…," implying that it might be possible that composers sometimes replaced the "unbearable" prelude with the more inspired fantasy in the opening to impress, and to attract the audience's attention. In terms of the fantasy, the principal feature lies in its freedom—a quality which is favored in comparison to those of the prelude. It is plausible that the prelude gradually became "in common with the fantasie," because of the fantasy's increasingly fanciful and spontaneous qualities.[37] In other words, a fantasy-like prelude

[37] Ibid.

would entertain the audience even when the performer is ascertaining the intonation of the keyboard.

Capriccio, in Relation to Fantasy and Prelude

The earlier example in the seventeenth century demonstrates that a capriccio could possibly be classified within the strict fantasy genre as there is a restriction of the mode and scale. C.P.E. Bach's free fantasy belongs to a wild nature with bold modulation and does not comply with the strict fantasy. Based on Türk's opinion, a capriccio "is likewise a type of fantasie, without a fixed design and the like. The piece as a whole appears to be only a musical idea that came to the composer's mind."[38] Evidently, the nature of the capriccio has always followed the evolution of the fantasy, and deviated much from the fantasy between the time of Praetorius and Türk.[39] Although the capriccio is a sub-genre of the fantasy, due to its nature of being a musical idea, it was flexibly employed during the eighteenth century. The eighteenth-century capriccio might be a work of technical study, a cadenza within a concerto, or a paired

[38] Türk, op. cit., 388.

[39] For later composers such as Carl Czerny and Heinrich Koch, the capriccio incorporates a sense of humor in the fantasy. Niccolò Paganini even used capriccio to compose a study piece or etude, such as *Capriccio of Etude*.

prelude (or fantasy). Combining characteristics of both the prelude and fantasy with the capriccio's inherent quality of technical display can be found in W.A. Mozart's work which will be exemplified in the following chapter.

Aesthetic Transformation of the Late Eighteenth Century

If C.P.E. Bach's *Essay* (1752/1762) served as a significant resource to musicians of later generations, Türk's *School of Clavier Playing* (1789) can help to trace the general musical aesthetics at the end of the eighteenth century. Considering compositional and performance issues along with social changes, the middle-to-late eighteenth century was a transitional period in which composers developed a new musical language that emerged from the old "learned style." The subtle differences between C.P.E. Bach's and Türk's views of the prelude reveal the fact that there was a noticeable aesthetic change within the several decades that divided their respective treatises. According to the information summarized by Türk, although not all preludes were synonymous with fantasies during the eighteenth century, some gradually incorporated the fantastical nature of the fantasy genre. This gradual process of assimilation between the prelude and the fantasy might have originated from the consideration of the audience, which in turn influenced the compositional motivation of

the fantasy (or prelude). The fantasy genre—a perfect platform for free imagination and experimentation—serves as an ideal way of observing the gradual change in musical style and aesthetics during this transitional period.

CHAPTER 3

THE ORIGINS OF THE FREE FANTASY

The "free fantasy" was first defined by C.P.E. Bach, J.S. Bach's son, in his *Essay on the True Art of Playing Keyboard Instruments* (1752/1762). The free fantasy has roots in his father's *Chromatic Fantasy* (circa 1715). In "C.P.E. Bach and the Free Fantasy for Keyboard," Douglas A. Lee states that "the free fantasia—meaning one without bar lines in most, if not in all, of its sections—signified a change in musical leadership from the court and church to the stylized music-making of the middle class."[40] Free fantasy did not appear suddenly, but through a prolonged development mainly influenced by the German Enlightenment. While the Enlightenment emphasized individualism and reason, people started to seek opportunities to reform the absolute monarchy. The middle-class gradually rose in wealth and mingled with the aristocracy, resulting in a gradual shift in music patronage from the court and church to include the upper-middle class. Educational institutions such as universities or academies of sciences were developed quickly during the first half of the eighteenth century. These

[40] Douglas A. Lee, "Bach and the Free Fantasia for Keyboard," in *C.P.E. Bach Studies*, ed., Stephen L. Clark (Oxford: Clarendon Press, 1988), 177.

social changes consequently enabled C.P.E. Bach to complete his jurisprudence study at the University of Leipzig in 1731 while learning music from his father and interacting with other great musicians. The change in social structure was gradually reflected in a changing musical style that accommodated a new group of consumers and aesthetics.

Musical Aesthetics in Eighteenth-Century Germany

The fantasy developed alongside the music of the eighteenth century, moving from the Baroque to the Classical, then to the early Romantic era. Before and during the Baroque era, the fantasy was a contrapuntal composition sometimes paired with another work, such as a fugue. Due to the changing aesthetics around the middle of the eighteenth century, musicians preferred to add contrasting dynamics to imply the interaction of voices or to express personal will and feelings in the fantasy.[41] Subsequently, in the Classical period and beyond, the fantasy came to encompass an even more freely improvised performance or a larger complete work with wilder expression, regardless of its composed or improvised parts. Therefore, the fantasy of the eighteenth century was not only a free and imaginative genre, but the most suitable musical platform on which to mix styles from different periods.

[41] Ibid.

Although scholars tend to use 1750, also the year of J.S. Bach's death, to divide the musical styles of the Baroque and Classical periods, the transition between the two musical styles may have begun earlier in the first half the eighteenth century. The fantasies of J.S. Bach often functioned as preludes (or introductions) paired to the Baroque fugues.[42] These fantasies continued to employ conventional compositional techniques such as counterpoint, imitation, rapid running scales, and broken chords, albeit with various modification in terms of musical form. Several of J.S. Bach's innovative experiments include combining fantasies with forms of sonata (*Fantasia and Fugue, BWV 906*), ritornello (*Fantasia and Fugue, BWV 904*), and free fantasy (*Fantasia and Fugue, BWV 903*).[43] Since there is no consistent development of theme and motives in the *Chromatic Fantasy, BWV 903*, Bach scholar Phillip Spitta was the first scholar who accordingly referred to this *Fantasy* as an "uncontrolled storm and stress."[44] Philip Spitta's perspective of "uncontrolled storm and stress" for fantasy implies that the element of the "storm and stress" could have started to grow prior to the

[42] Those paired fantasies are *BWV 903*, *904*, and *906*.

[43] The term "free fantasy" was only created later by C.P.E. Bach in his *Essay on the True Art of Playing Keyboard Instruments* (1762).

[44] Philipp Spitta, *Johann Sebastian Bach: His Work and Influence on the Music of Germany, 1685-1750, Vol. III,* trans. Clara Bell and J.A. Fuller-Maitland (London: Novello, 1992), 181-182.

mid-eighteenth century.[45] C.P.E. Bach seemingly explored J.S. Bach's mannerisms in the *Chromatic Fantasy*.[46] He invented and defined the improvisational free fantasy, even despite some minor differences and modifications in his *Essay on the True Art of Playing Keyboard Instruments* (1752/1762). Since the fantasy was often employed as a special medium to experiment with new creative ideas, it can be observed that C.P.E. Bach's free fantasy likely developed the idea of the "uncontrolled storm and stress" from examples in J.S. Bach's *Chromatic Fantasy*. This anticipates the German *Sturm und Drang* movement in the second half of the eighteenth century.

J.S. Bach's *Chromatic Fantasy* and Its Design

J.S. Bach's *Chromatic Fantasy* was a work that was exceedingly innovative and creative in the first half of the eighteenth century. It is thought to belong to J.S. Bach's Weimar period (1708-1717) and was not originally paired with a fugue when it was composed as part of his personal repertoire for private performances.[47] Compared to his

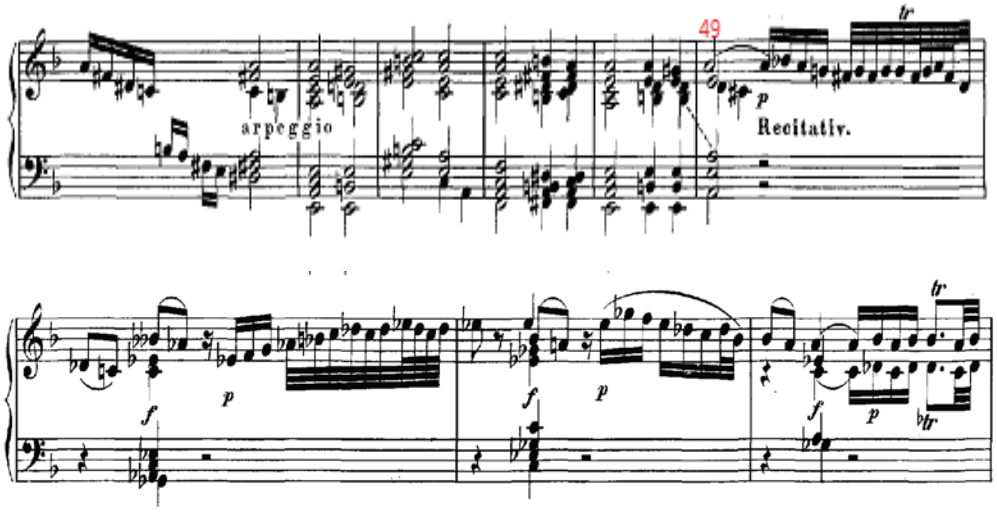
[45] The German "storm and stress" (*sturm und drang*) was supposed to be a movement to reject the rationalism of German Enlightenment in the second half of the eighteenth century. The "storm and stress" in music is characterized by individual emotional expression that is often violent. "Storm and stress" may have translated into greater freedom in all the arts and later spread throughout Europe, especially influencing such a personal genre as the musical Fantasy. These ideals circulated in correspondence with the French Revolution, glorifying individuality and democratic freedom.

[46] J.S. Bach's *Chromatic Fantasy* is a freer example of the paired fantasy which might have influenced C.P.E. Bach's free fantasy and subsequently the later *Sturm and Drang* movement.

[47] David Schulenberg, *The Keyboard Music of J.S. Bach*, 2nd ed. (New York: Routledge, 2006),

other fantasies, the *Chromatic Fantasy* is freer and combines elements of both the toccata and recitative styles: note that J.S. Bach marked "recitative" at measure 49, indicating a new section (see Example 2). Thus, the distinct styles of the toccata and the recitative are imaginatively managed via different keyboard effects: the runs, the arpeggios, and the pedal point in the toccata are practices derived from organ performance.

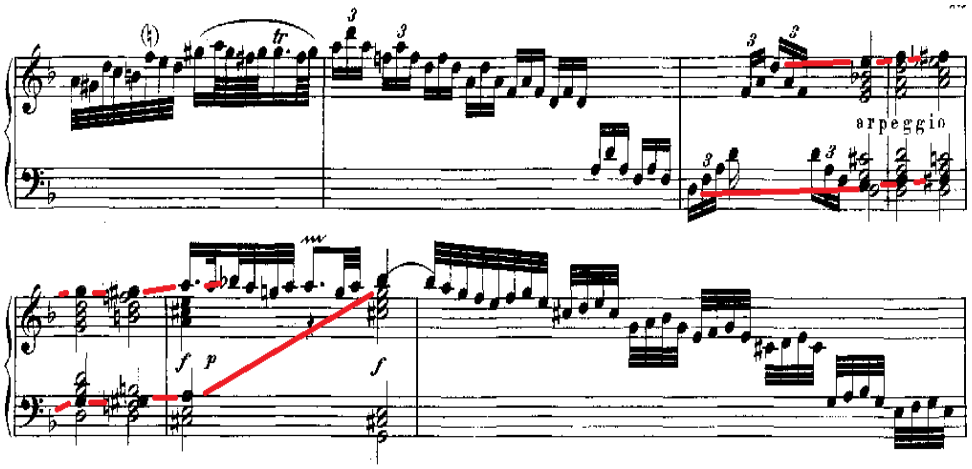
Ex.2 J.S. Bach's *Chromatic Fantasy, BWV 903*, mm. 44-52:
the third arpeggio passage of the toccata section and the beginning of the recitative section



141.

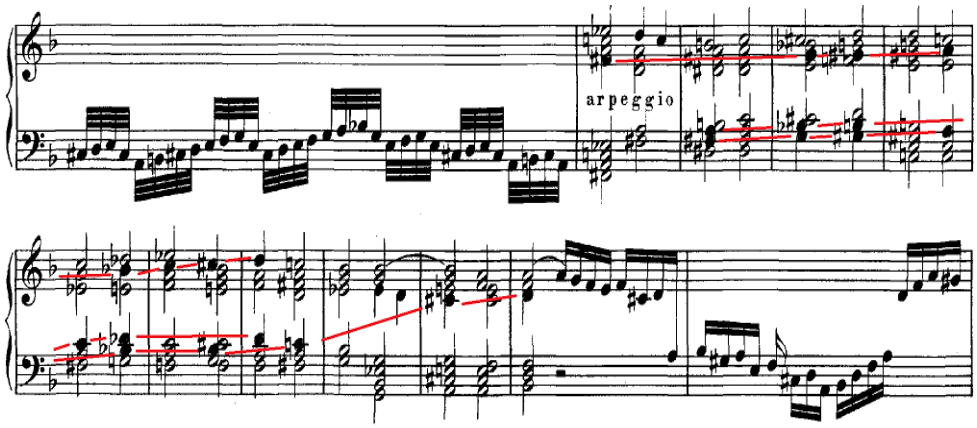
The arrangement of short declamations followed by brief strokes illustrates a clear imitation of the typical interaction between a vocal part and the continuo accompaniment from the recitative idiom.[48] Although both sections contain different features, they are linked by an implied chromatic relationship as marked by the red line noted in the following examples of the toccata and the final chromatic scale at the end of the recitative (see Examples 3-4).

Ex.3 J.S. Bach's *Chromatic Fantasy, BWV 903*, mm. 25-31:
the first arpeggio passage of the toccata



[48] Johann Sebastian Bach, *Chromatische Fantasie und Fuge*, ed., Edwin Fischer (Berlin: Verlag Ullstein, 1928), 3. Edwin Fischer noted this fantasy might be intended for performance by a two-manual keyboard. "In his pupils' copies are to be found f and p indications which lead one to believe that the piece was written for a pedal-piano with two manuals. F and p mean in this case change of manual, for instance, in the Recitative the declaiming part has mostly p, while for the accompanying inserted chords f is prescribed."

Ex.4 J.S. Bach's *Chromatic Fantasy, BWV 903*, mm. 32-43:
the second arpeggio passage of the toccata



The basic structural design of the toccata and the sentiments of the recitative section of this *Chromatic Fantasy* are very likely to have influenced C.P.E. Bach to further develop the genre toward what would become free fantasy. The following discussion will compare structural design and elements between J.S. Bach's *Chromatic Fantasy* and C.P.E. Bach's free fantasy writing in his treatise. The toccata section of the *Chromatic Fantasy* can be clearly divided into two subsections: mm. 1-20 and mm. 21-49. Both sections start in a similar fashion—with sequential running scales. The first subsection (mm. 1-20) has several passages with various figurations. The second subsection (mm. 21-49) of the toccata contains three arpeggio passages that illustrate emotional development; it is a passage with free modulation leading to an imitative

declamatory recitative.[49] The separation created by the recitative-like cadential gestures highlights the singing phrases characterized by virtuosity, melisma, and sensitive emotion.[50] While applying spontaneous and improvisatory techniques was normal for developing a piece of music at that time, C.P.E. Bach might have referred to the arpeggio passages of the chromatic toccata and developed them to become the wide-ranging modulations of the free fantasies (see Examples 2-4).[51]

The Wide-Ranging Arpeggios in Free Fantasy
A Discussion from C.P.E. Bach's *Essay on the True Art of Playing Keyboard*

The wide-ranging modulations composed of broken-chord arpeggios built on figured bass has have been considered an integral part of the content regarding the free fantasy genre. As figured-bass practice was helpful in improvising compositions, it remained popular for composer-performers and was prevalent during the Bachs' time, lasting until the end of the eighteenth century.[52] Johann David Heinichen (1683-1729)

[49] This passage might not only influence C.P.E. Bach's free fantasies, but also could apply to some of the cadenza improvisation in W.A. Mozart's classical piano concertos.

[50] This offers a dramatic affect which provides a stark contrast to the fugue.

[51] Schulenberg, op. cit., 147. Schulenberg has proposed that J.S. Bach's wild-ranging modulation and sequences of the *Chromatic Fantasy* could have been the model for C.P.E. Bach's development of the free fantasy genre.

[52] In fact, most of the major pedagogues still used figured-bass to write their pedagogical treatises in the second half of the eighteenth century.

also declared that "No music connoisseur will deny that the *Basso Continuo* or so-called thorough-bass is, next to [the art of] composition, one of the most important and fundamental of musical sciences…" further suggests that thorough bass is the foundation of the improvisation created by J.S. Bach and his contemporaries.[53] Therefore, it is not surprising to find similar improvisational elements in the toccata section of J.S. Bach's *Chromatic Fantasy* and in the chapter "Improvisation - The Free Fantasia" in Part II of C.P.E. Bach's *Essay*.

At the beginning of *Essay*, C.P.E. Bach defines what a free fantasy is and then spends a large space discussing how to compose a free fantasy based upon figured-bass practice.[54] Particularly, he described details for constructing wide-ranging modulations. In most cases, except to establish the beginning and closing key, the free fantasy changes keys through the leading tone, and does not require the closing cadential formula at the end of the composition.[55] Additionally, an enharmonic diminished seventh or fifth chord progression is largely used to broaden the free fantasy

[53] George J. Buelow, *Thorough-Bass Accompaniment According to Johann David Heinichen*, (LA: University of Nebraska Press, 1966), 261.

[54] C.P.E. Bach's definition of a "free fantasy" will be discussed later.

[55] C.P.E. Bach, op. cit., 430. 261.

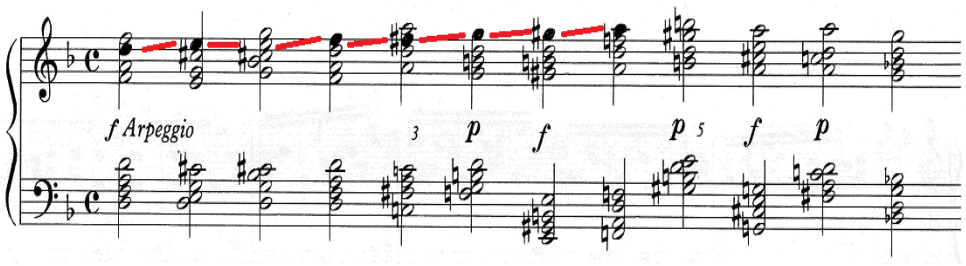
harmonically.[56] To escape the tedious effect of specific instrumental limitations, performers may use a variety of figurations in the composition or use speed as emphasis for the preparation of a chromatic progression.[57] These figurations may include the addition of certain repeated neighbor tones, the addition of lower neighbors to certain chords (which C.P.E. Bach called "breaking with *acciaccature*"), and moderate-speed runs with foreign tones.[58] Sometimes a wide-ranging arpeggio could be written in simplified notation, the notes stacked vertically and marked with a term "arpeggio." Similarly, the "arpeggio" writing, based on figured bass with a hidden chromatic scale, is clearly illustrated in C.P.E. Bach's short *Fantasy Allegretto in D Minor, Wq. 114/7* (1767) in *Kurze und leichte Clavierstücke* (see Example 5).

[56] C.P.E. Bach, op. cit., 438. "As means of reaching the most distance keys more quickly and with agreeable suddenness not chord is more convenient and fruitful than the seventh chord with a diminished seventh and fifth, for by inverting it and changing it enharmonically, a great many chordal transformations can be attained."

[57] This is exactly what J.S. Bach has done to his toccata section of the *Chromatic Fantasy, BWV 903*.

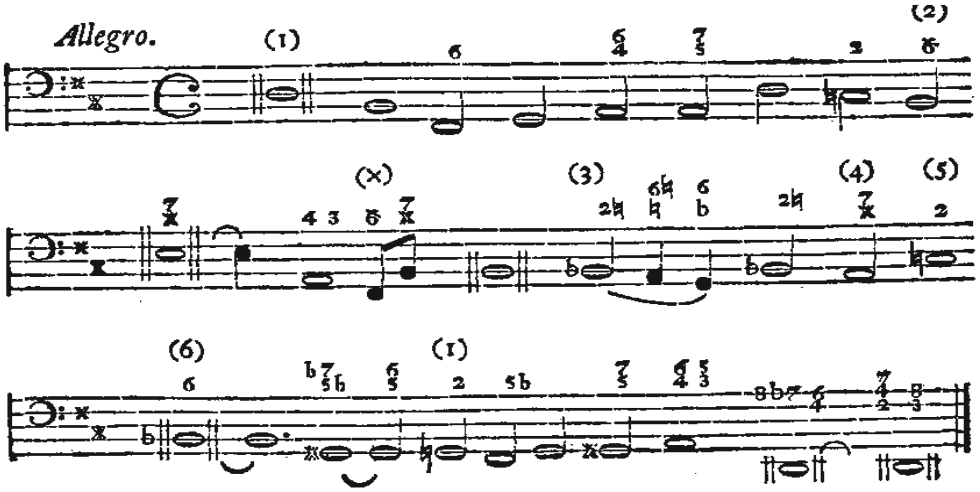
[58] C.P.E. Bach, op. cit., 159-160, 439-440.

Ex.5 C.P.E. Bach's *Fantasy Allegretto in D Minor, Wq. 114/7*: notation of the arpeggio

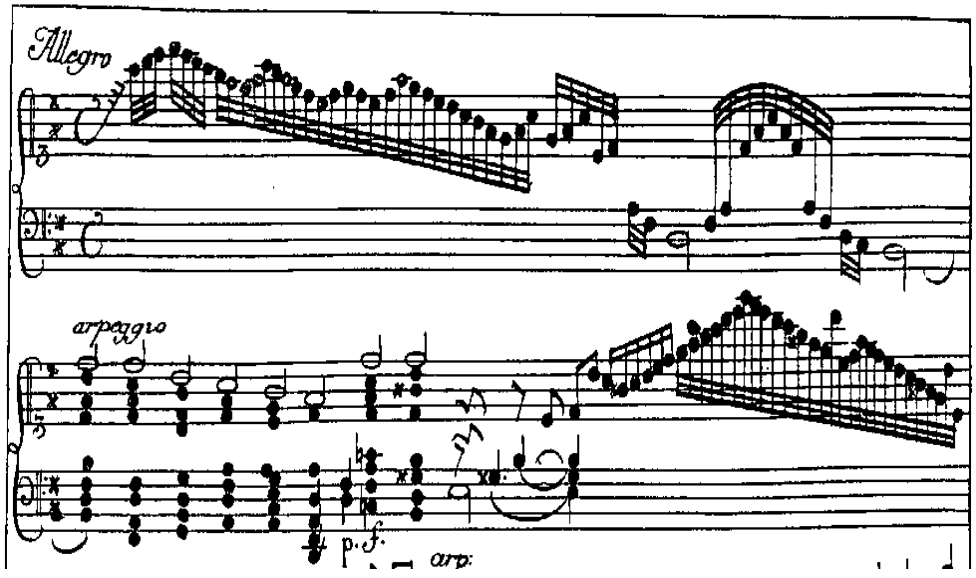


At the end of "Improvisation - The Free Fantasia," C.P.E. Bach provides two different examples of notation, in Figures 479 and 480 (see Examples 6-7), to conclude his chapter. Both figures are from the same composition, *Free Fantasy in D Major, H. 160, Wq. 117/14*. However, the first is written as a single root note with figured bass in Figure 479, and the second is written as chords with the word "arpeggio" in Figure 480 (see Examples 6-7).

Ex.6 C.P.E. Bach's Figure 479 in the Autograph of the *Essay*:
Free Fantasy in D Major, H. 160, Wq. 117/14



Ex.7 C.P.E. Bach's Figure 480 in the Autograph of the *Essay*:
Free Fantasy in D Major, H. 160, Wq. 117/14



Considering that the free fantasy is part of the fantasy genre, C.P.E. Bach preferred to move the broken chords in a slow and even motion with various dynamics, thereby heightening the feelings of free imagination and improvisation. Nevertheless, the notations of the examples in C.P.E. Bach's *Essay* do not completely reflect the performance practice of arpeggios at that time. However, C.P.E. Bach indicates that the note values should be accurately written with each chord being arpeggiated "twice" and that the second arpeggio should have "a bigger range which moves to another register."[59] Through C.P.E. Bach's explanation, it is possible that the second chord is arpeggiated in a more improvisatory manner with a larger range.

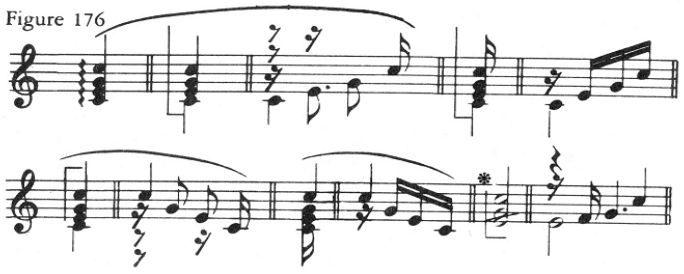
C.P.E. Bach discussed broken-chord arpeggios in two separate categories in his *Essay*. The first category, in the "Performance" chapter of the *Essay* Part I, is the standard practice of arpeggio writing and execution as presented in Figure 176 (see Example 8).[60] The second category, in "Improvisation - The Free Fantasia" chapter of Part II, is to indicate the word "arpeggio" in the score as presented in Examples 5 and 7. Specifically, C.P.E. Bach records the second method of broken-chord notation and

[59] C.P.E. Bach, op. cit., 442. In addition, CPE Bach states: "In performance each chord is arpeggiated twice. When the second arpeggio is to be taken in a different register by either the right or the left hand, the change is indicated in the fantasia. The tones of the slow, fully gripped chords, which are played as arpeggios, are all of equal duration." It seems the broken-chord notation is different from C.P.E. Bach's description of its performance practice in his *Essay*.

[60] Currently, the proper performance practice to fit with C.P.E. Bach's description of wide-ranging arpeggios is unknown.

execution as follows: “the word ‘arpeggio’ written over a long note calls for a chord broken upward and downward several times.”[61] From his description for broken-chords, it reveals that the performance practice for broken-chord differs from the notation.

Ex.8 C.P.E. Bach’s Figure 176 in the *Essay*:
the usual signs of arpeggiation and execution



The Genetic Traits in the Bachs’ Free Fantasies

C.P.E. Bach originally attached Figures 479 and 480, *Free Fantasy in D Major, H. 160, Wq. 117/14*, as the final teaching samples to conclude and review the instructions in his seventh chapter, “Improvisation - The Free Fantasia.” This free fantasy was composed based on figured bass without bar lines. Comparing within the toccata portion of J.S. Bach’s *Chromatic Fantasy* (See Examples 2-4) and C.P.E. Bach’s *Free Fantasy in D Major* (See Examples 6-7), it reveals that this convention accounts for both

[61] C.P.E. Bach, op. cit., 159.

Bachs' writing out only the first arpeggio and notating the remaining arpeggios as solid chords. C.P.E. Bach's *Free Fantasy in D Major* seems to start creatively with a rapid running passage, apply three passages of simple arpeggios, and ends with a pedal passage. However, a detailed examination demonstrates that it may be considered a miniature version of the toccata section in J.S. Bach's *Chromatic Fantasy* (despite the major-minor shift in D major and d minor, chromatic considerations, bar lines, and sectional writing). It is clear that J.S. Bach's *Chromatic Fantasy in D Minor, BWV 903* directly influenced C.P.E. Bach's contribution towards the free fantasy. Thus, the history of the improvisational free fantasy is not affected by the stylistic changes between the Baroque or Classical period—it has its own independent thread.

CHAPTER 4

FANTASTIC ELEMENTS IN W.A. MOZART'S FANTASIES AND PRELUDES

As established in the previous chapter, C.P.E. Bach's and D.G. Türk's definitions of the fantasy genre and prelude provide substantial clues which establish the aesthetic change between the fantasy and prelude within the second half of the eighteenth century. While C.P.E. Bach believed that the interpretational freedom of performance in the fantasy is larger than in the prelude, Türk believed that the prelude shares some characteristics with the fantasy.[62] Türk's observation implies that the fusion between the fantasy genre and the prelude was an ongoing process over the three decades between the publication of his and C.P.E. Bach's treatises. As the fantasy genre could easily adopt the prelude into its experimental world, the growing similarity between the two genres is especially notable in W.A. Mozart's existing fantasies and preludes composed during 1776 and 1789.[63] One can observe the evolving tradition of the fantasy genre, and see that the fantasy, capriccio, and prelude had been combined altogether under W.A. Mozart's personal vision.

---

[62] Türk, op. cit., 389.

[63] It is possible that since W.A. Mozart was a great composer-performer who apparently studied C.P.E. Bach's music, his writing was naturally influenced by C.P.E. Bach's free fantasy genre.

W.A. Mozart's fantasies and preludes can be divided into three categories according to their features and their dates of publications.[64] These categories are combinations of the fantasy genre and the prelude and demonstrate various compositional approaches. First, the preludes written before 1778 illustrate how W.A. Mozart considered C.P.E. Bach's free fantasy elements, with figure-bass writing as part of the foundation, to fuse the fantasy genre with the prelude.[65] Second, the fantasies of two pair compositions written between 1782 and 1785 show further development rooted in the earlier preludes. They reveal that W.A. Mozart was influenced by Baroque style and continued to experiment, fusing the fantasy and prelude. The final category includes three unfinished fantasies composed during 1782 and 1789. These fantasies demonstrated that W.A. Mozart's musical language in fantasies and preludes has similar motivic ideas that come from the earlier pieces. They are almost entirely barred but still are influenced by the free fantasy. Overall, an eighteen-year period suggests that the process of evolution of W.A. Mozart's fantasies and preludes was not immediate. They potentially inspired other musicians, including Türk, and served as a momentous bridge

[64] Due to the performance technique of organ being largely different from other keyboards, W.A. Mozart's two organ compositions, *Organ Improvisation Fantasia, K. 528a/Anh.C 27.03 (Organ Practice Fragment)* and *Organ Fantasy in F Minor, K. 608* (1790) will not be discussed.

[65] This is further evinced by the fact that W.A. Mozart sometimes installed free fantasy passages in the cadenzas of his concertos.

in the second half of the eighteenth century towards the early Romantic period in the nineteenth century.

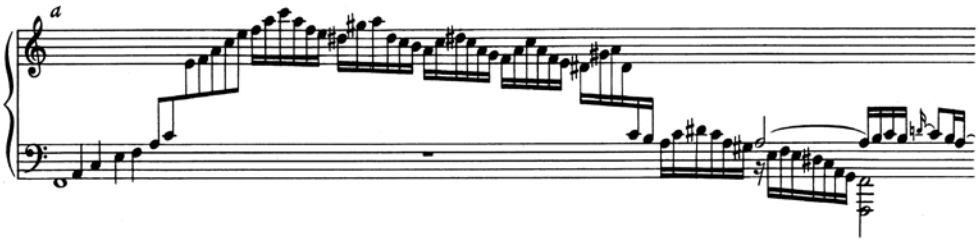
Group I (1776-1777): *K. 624* and *K. 395*
The Beginning of Fusing the Fantasy Genre and Prelude

W.A. Mozart clearly states in letters to his family in 1778 that he has two types of preludes: a regular and a modulating prelude.[66] There are two preludes prior to 1778: the *Modulating Prelude F-C, K. 624* (incl. *Modulating Prelude F-E, K. deest*) (1776-1777) and the *Prelude (Capriccio) in C Major, K. 395* (1777). The *Modulating Prelude F-E, K. deest* is completely unmeasured and is composed without key and time signature. It is mainly built upon the descending bass-line of the figured bass and could therefore move into remote keys easily, which resembles C.P.E. Bach's description of the free fantasy (see Example 9).[67]

[66] *The Letters of Mozart and His Family*, ed., Emily Anderson, 1st American of 1985 rev. ed., (New York: Norton, 1989), 283, 308, 573, 589, 600.

[67] C.P.E. Bach, op. cit., 434. In the modulation of the free fantasy: "[F]ormal closing cadences are not always required; they are employed at the end and perhaps once in the middle. It suffices if the leading-tone of the key in the bass or some other part, for this tone is the pivot and token of all natural modulations."

Ex.9 W.A. Mozart's *Modulating Prelude F-E Prelude, K. deest*

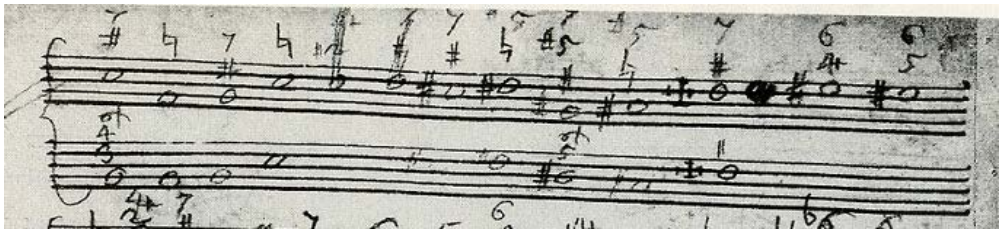


The "*Fragment from A Prelude K. 624*" then shows a simplified figured-bass notation indicating the arpeggiated chord progression written by Wolfgang Amadeus' sister, Nannerl Mozart, in the manuscript. N. Mozart's simplification reflects that during the late 1770s, the theoretical thinking for improvising this prelude was largely built on the tradition of writing long note-values (see Example 10).[68] W.A. Mozart's *Modulating Prelude F-E, K. deest* and N. Mozart's "*Fragment from A Prelude K. 624*" were combined to form one complete *Modulating Prelude F-C, K. 624* by the publisher.[69]

[68] These preludes were originally created for N. Mozart to practice and perform, and that he suggests that she practice and get inspiration from them.

[69] Wolfgang Plath and Wolfgang Rehm, ed., preface to *Miscellaneous Works for Piano*, by Wolfgang Amadeus Mozart, 2nd ed., revid. Aufl. (Kassel: Bärenreiter Urtext, 2005), XV.

Ex.10 N. Mozart's reproduction of "*Fragment from A Prelude KV. 624*": arpeggiated figured long note



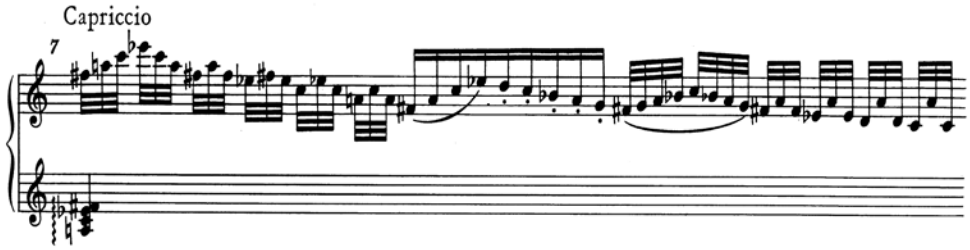
While W.A. Mozart's *Modulating Prelude F-C, K. 624* employs some free-fantasy elements, his *Prelude (Capriccio) in C Major, K. 395* could be identified as an unbarred sectional free fantasy or a barred fantasy with traits of a free fantasy. Originally, N. Mozart only requested that W.A. Mozart compose "one C to B-flat modulating prelude."[70] However, in 1777, W.A. Mozart sent her a combination of four separate preludes; transforming this combinational prelude into a capriccio as a whole.[71] W.A. Mozart specifically writes "capriccio" in measures 7 and 26. For the first capriccio section, the influence of the arpeggio shape is similar to the unbarred fantasy, albeit with more complex figurations. The second section is a barred form with a melodic opening that resembles the *12 Variations on a French Song* "*Ah, vous dirai-je, maman*" (1778).

[70] *The Letters of Mozart and His Family*, op. cit., 308 n. 2.

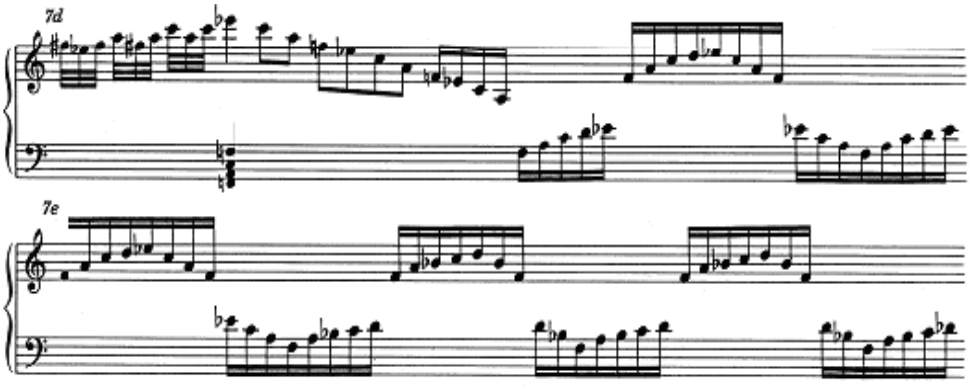
[71] Ullrich Scheideler and Walther Lampe, ed., preface to *Piano Pieces: Selection*, by Wolfgang Amadeus Mozart, Rev. ed (München: G. Henle, 2006), VIII.

Though the conventional tempo for a prelude or fantasy is *Adagio*, this section is marked *Allegretto* and contains humorous elements presented by sudden motivic changes—elements that belong to a capriccio. This *Prelude (Capriccio)* evidently shows how the function of prelude and the technical nature of capriccio were well mixed in the late eighteenth century (see Examples 11-13).

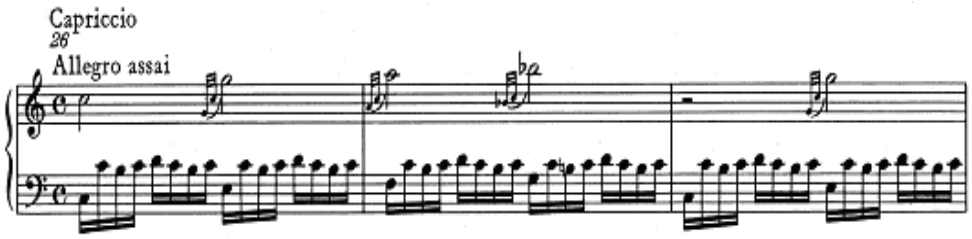
Ex.11 W.A. Mozart's *Prelude (Capriccio) in C Major, K. 395*, m. 7:
the first capriccio free section



Ex.12 W.A. Mozart's *Prelude (Capriccio) in C Major, K. 395*, m. 7d:
the arpeggio section



Ex.13 W.A. Mozart's *Prelude (Capriccio) in C Major, K. 395*, mm. 26-28: the second capriccio section



In a letter he wrote in 1778, W.A. Mozart indicates the fusion of the capriccio and prelude:

> I want to present my sister with *a little Preambulum*. The manner of playing it *I leave to her own feeling*. *This is not the kind of prelude which passes from on key into another, but only a sort of Capriccio, with which to test a clavier*… You need not be very particular about the time. *This is a peculiar type of piece.* It is the kind of thing that *may be played as you feel inclined*.[72]

W.A. Mozart's intention in writing this piece as a prelude is to test the instrument in anticipation of the main work, but it also can be performed with the performer's personal feelings and interpretation, in order to impress the audience, as in the fantasy-genre. "A peculiar type of piece" accurately demonstrates that the writing on the *Prelude*

[72] Mario R. Mercado, *The Evolution of Mozart's Pianistic Style* (Carbondale: Southern Illinois University Press, 1992), 51 (my italics).

(Capriccio) was experimental and special at this time. As W.A. Mozart notes, he does not identify this work as an ordinary prelude; but rather, as "a sort of Capriccio" written as a combination between regular and modulating preludes and the fantasy-based composition. While Türk mentioned that the capriccio is "a type of fantasy without a fixed design [that] appears to be only a musical idea that came to the composer's mind,"[73] later Czerny refines this point. Czerny claims that "[a] capriccio is in the true sense *the freest form of improvising in fantasy style, a whimsical and swift shifting from one motive to the other without further relationship* than that bestows by chance *or*, unintentionally, *by the musical inclination of the performer*."[74] After all, one might appreciate this in terms of Türk's earlier observation in his *School of Clavier Playing* that fantasy elements are common in both the capriccio and prelude.

Group II (1782-1785): *K. 394* and *K. 475*
Experimentation in Fantasies of Two Paired Compositions

Fantasies K. 394 and *K. 475* demonstrated that W.A. Mozart attempted to keep seeking advanced approaches to combine the fantasy genre and the prelude between 1782 and 1785. Instead of having a title as a prelude, W.A. Mozart deliberately paired

[73] Türk, op. cit., 388.

[74] Wheelock, op. cit., 320-321 (my italics).

the *Fantasies K. 394* and *K. 475* with one fugue and one sonata as the modification from the Baroque paired tradition: the *Fantasy and Fugue in C Major, K. 394* (1782) and the *Fantasy and Sonata in C Minor, K. 475/457* (1785/1784).[75] In terms of their own developing style, the *Fantasies K. 394* and *K. 475* possess a greater interpretational freedom than a prelude has and do not contain elements influenced from the later fugue and sonata. On the other hand, in order to establish a position as a prelude within the paired compositions, W.A. Mozart still tied a harmonic relationship between these *Fantasies* and their paired pieces separately. Overall, the *Fantasies K. 394* and *K. 475* are essentially the extended experimentations rooted from W.A. Mozart's earlier preludes written between 1776 and 1777.

The *Fantasy K. 394* seems to be a continuation of the *Prelude* (*Capriccio)* written in 1777. An overall idea of a capriccio—"a whimsical and swift shifting from one [section] to the other without further relationship"—fits perfectly in this *Fantasy*.[76] The first section, *Adagio*, begins with a classically constructed melody followed by

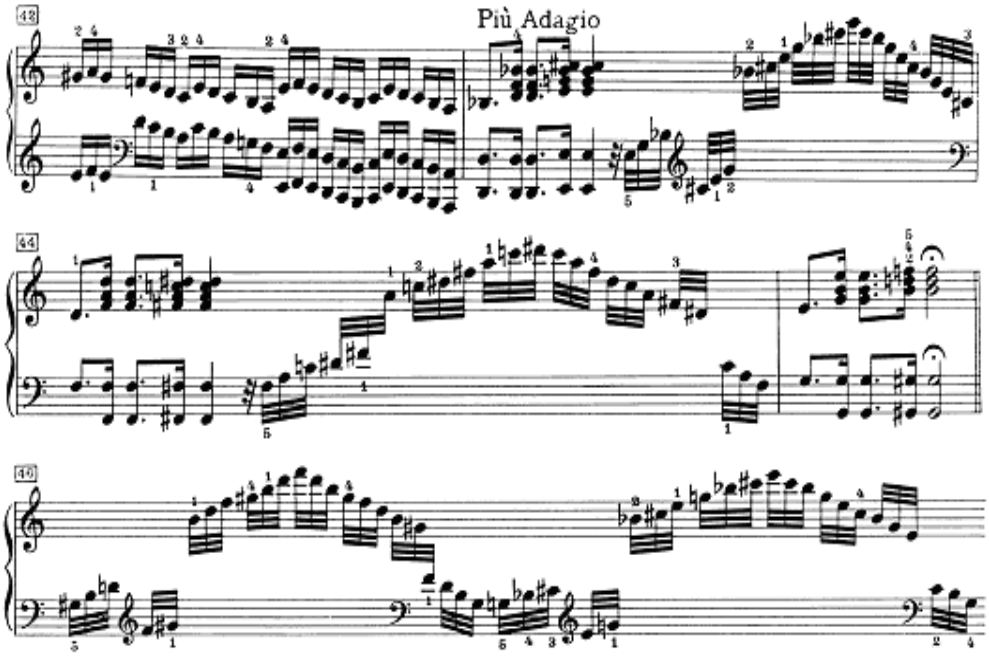
[75] Katalin Komlos, "'Ich praeludirte und spielte Variazionen': Mozart the Fortepianist," in *Perspectives on Mozart Performance*, ed., Larry Todd (Cambridge: Cambridge University Press, 1991), 48. Originally, the Baroque tradition of the paired composition dictates that its prelude should have similar or contrary elements that enable it to move naturally into the following fugue. Thirty years after 1750, paired compositions were essentially a modification of the Baroque paired convention; some composers paired their fantasies with variations or other compositions.

[76] Wheelock, op. cit., 320-321. According to Czerny, "*[a] capriccio is in the true sense the freest form of improvising in fantasy style*, a whimsical and swift shifting from one motive to the other without further relationship than that bestows by chance or, unintentionally, *by the musical inclination of the performer*." (my italics)

imitative sequencing passages with abrupt changes, creating an odd musical effect. Particularly, the *Più Adagio*, mm. 43-46, is a combination of a capriccio-like cadenza and a written out, unbarred, arpeggiated passage. That long arpeggiated passage, which is built on a chromatically descending bass line with successive diminished seventh chords, is reminiscent of the bold modulation of C.P.E. Bach's free fantasy.[77] Despite not being built upon figured bass, the *Fantasy K. 394* bears obvious capriccio-like sectional writing and has the implication of wide-arpeggio sections from the free fantasy (see Example 14).

[77] C.P.E. Bach, op. cit., 438. "As means of reaching the most distant keys more quickly and with agreeable suddenness no chord is more convenient and fruitful than *the seventh chord with a diminished seventh and fifth*, for by inverting it and changing it *enharmonically*, a great many chordal transformations can be attained." (my italics)

Ex.14 W.A. Mozart's *Fantasy (Prelude) in C Major, K. 394*, mm. 42-46: free cadenza-like passage



It was peculiar to pair a classically oriented fantasy with a Baroque fugue. When W.A. Mozart dedicated and sent the *Fantasy and Fugue, K. 394* to N. Mozart in 1782, he therefore felt compelled to explain its compositional background in a letter:[78]

[78] *The Letters of Mozart and His Family,* op. cit., 801. Mozart's original intention was to compose five more of this kind of paired composition, therefore he asked his sister "not to show this composition [*K. 394*] to a soul, learn it by heart and play it." W.A. Mozart also arranged some of J.S. Bach's fugues into preludes and fugues for chamber compositions.

> I sent you herewith *a prelude* and a three-part fugue…it is awkwardly done, for the prelude ought to come first and the fugue to follow. But *I composed the fugue first and wrote it down while I was thinking out the prelude*…The Baron van Swieten, to whom I go every Sunday, gave me all the works of Handel and Sebastian Bach to take home with me.[79]

This provides the insight that W.A. Mozart called this *Fantasy* a "prelude" in order to solidify its paired relationship. In regards to the compositional order, it seems to be an irregularity that W.A. Mozart modeled this fugue on Baroque style, and then took time to seek new musical ideas for the *Fantasy*. Although this prelude does not carry any influence from the *Fugue*, W.A. Mozart ends on the dominant of C minor to establish a common key relationship that ties the *Fantasy* to the *Fugue*.[80]

The *Fantasy and Fugue in C Major, K. 394* is W.A. Mozart's only officially written paired work for keyboard. Over a three-year period, W.A. Mozart had decided to publish the *Fantasy and Sonata in C Minor, K. 475/457*.[81] The styles of these two paired works are different enough to be distinguished from one another. The *Fantasies K. 394*

---

[79] *The Letters of Mozart and His Family*, op. cit., 800-801 (my italics).

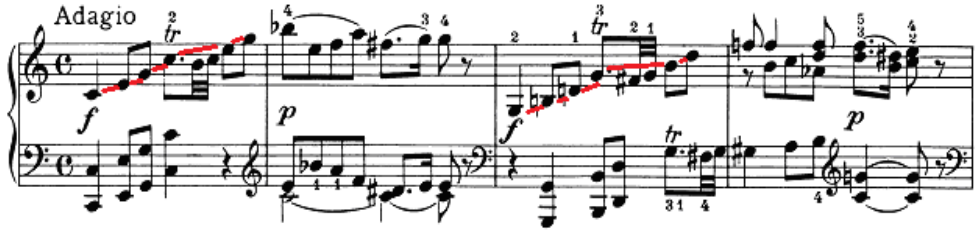
[80] A prelude that does not end on the tonic but on the dominant is typical in the Baroque period; it means that the work is not finished and continues in the next section.

[81] *Fantasy and Fugue K. 394* is a paired composition that W.A. Mozart intended to compose in the Baroque style of a prelude followed by a fugue. He initially composed *Fantasy K. 475* and *Sonata K. 457* separately, but when there was a need for publication, he grouped them together as one paired work, *Fantasy and Sonata, K. 475/457*.

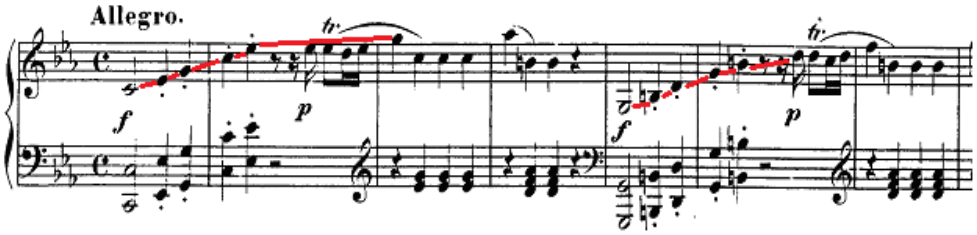
and *K. 475* share an intimate relationship, through their dual role, the compositional order, and relative motivic ideas within the parallel key in C major and minor. Chronologically, W.A. Mozart composed the *Fugue* and then added the *Fantasy* for *K. 394* in 1782; he then wrote the *Fantasy, K. 475* in 1785 which preceded the already written *Sonata, K. 457*.[82] It is clear that these two fantasies were created after the completion of the main work, which is contrary to the typical way of writing paired compositions. Furthermore, W.A. Mozart seemed to keep the pitch and intervallic motives of the *Fantasy K. 394* in mind for the *Sonata K. 457*, so that both the *Fantasy K. 394* and the first movement of the *Sonata K. 457* have exactly the same rhythmic and intervallic motives. It is possible that W.A. Mozart improvised and modified the pitch and motives and then applied the same harmonic relationship, from tonic to diminished seventh chord, from the first movement of the *Sonata K. 457* to the *Fantasy K. 475* (see Examples 15-19).

[82] Eugene K. Wolf, "The Rediscovered Autograph of Mozart's Fantasy and Sonata in C Minor, K. 475/457," *The Journal of Musicology* vol. 10, No. 1 (Winter, 1992): 14, accessed July 28, 2015, http://www.jstor.org/stable/763559. Although the *Fantasy in C Minor, K. 475* is the only one that W.A. Mozart entitled "Fantasy for Piano Solo" among his fantasies, it was placed and published together with *Sonata K. 457* under W.A. Mozart's guidance by Artaria in Vienna in the same year in 1785. This paired composition was written for his pupil Thérèse von Tratnner (1758-1793).

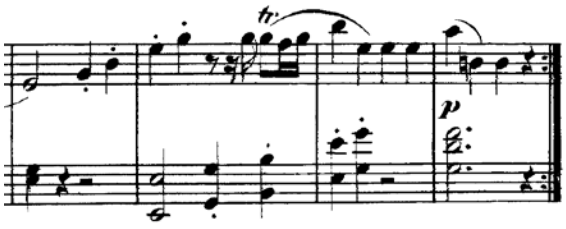
Ex.15 *Fantasy (Prelude) in C Major, K. 394* (1782), mm. 1-4



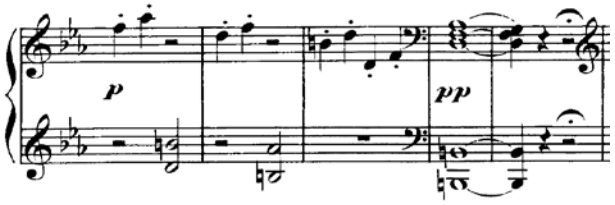
Ex.16 W.A. Mozart's *Sonata in C Minor, K. 457* (1784), mm. 1-7:
the beginning of the first movement



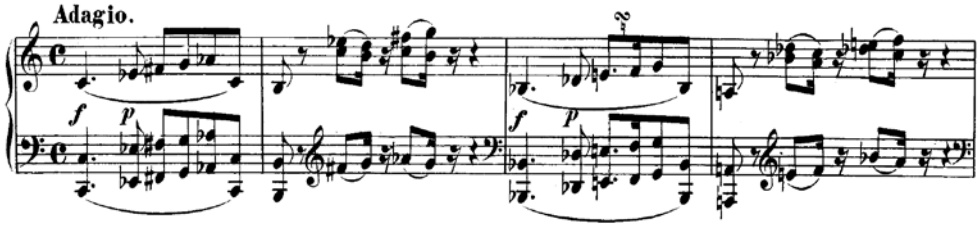
Ex.17 W.A. Mozart's *Sonata in C Minor, K. 457*, mm. 71-74:
the diminished-chord implication in the end of the Exposition of the first movement



Ex.18 W.A. Mozart's *Fantasy in C Minor, K. 475*, mm. 95-99:
the diminished chord in the Retransition



Ex.19 W.A. Mozart's *Fantasy in C Minor, K. 475*, mm. 1-4:
the bold modulated opening with the element of diminished seventh chord



Similar to W.A. Mozart's earlier preludes and fantasies, the *Fantasy K. 475* again bears some influences from C.P.E. Bach's free fantasies, yet in different ways. In contrast to the sudden changes in tempo usually seen in a free fantasy, W.A. Mozart experiments with the modification of mood and sensibilities in the multi-sectional design of the *Fantasy K. 475*. According to the key relationships in the passages, the *Fantasy K. 475* has six sections in total with five tempo marks. The opening, *Adagio*, begins a bold asymmetrical sequence with modulation upon a chromatic descending

bass line without specific thematic elements. As in the Example 19, the sequence that has the broken diminished seventh which can be seen as a reminiscence of a broken chord arpeggio progression—a bold modulation technique. The second section, with no tempo mark, builds on the dominant key of the dominant, which is D major. After a continuous modulation in the third section, *Allegro*, the fourth section, *Andantino*, is in the subdominant key of the subdominant, B-flat major. Finally, it modulates again in the fifth section, *Più allegro*, in order to reach the final section, *Tempo I*, which is the reprise of the fantasy's opening in C minor. In addition to the tempo changes, which act as distortions and sudden mood changes in a free fantasy, the wandering key changes influence the audience's mood in the *Fantasy K. 475*.

On a smaller scale, W.A. Mozart does not follow the tradition of building a principle key at the beginning and in the reprised section in the *Fantasy K. 475*; nonetheless, he establishes the listener's orientation through a restated sequence and rhythmic motive. With only the initial note being a C, almost the entire first section is a modulation built on a chromatic descending bass line. The uncertain sequential opening and ending sections certainly do not fit conventional expectations and come back to surprise the audience. Take note of W.A. Mozart's adherence to C.P.E. Bach's basic design: "The principle key must not be left too quickly at the beginning nor regained too

late at the end. At the start the principle key must prevail for same time so that the listener will be unmistakably oriented."[83] In seeing the sequence and rhythmic motive at the beginning as one object to replace a principle key, ultimately the orientation is achieved. By sharing certain elements, the beginning and the reprised sections therefore become an amendment to the rule of key which states, "A key in which to begin and end must [be established]."[84] With this daring idea, W.A. Mozart reaffirms the spirit of the free fantasy and his personal humor through unique treatment of style, thereby forming his ultimate compositional style.

Group III (1782-1789): *K. 396*, *K. 397* and *K. Anh.32*

Relevant Ideas in Three Unfinished Fantasies

Aside from the earlier examples of the preludes and paired fantasies, three unfinished fantasies, the *Fantasy in C Minor, K. 396* (1782), the *Fantasy in D Minor, K. 397* (1782), and the *Fantasy in F Minor, K. Anh.32* (1789) illustrate W.A. Mozart's affinity for employing of the elements of the free fantasy. W.A. Mozart built his fantasies upon inspiration from earlier improvisational ideas. Despite the fact that *Fantasy K. 396*, written shortly after *Fantasy, K. 394*, was not originally a keyboard

[83] C.P.E. Bach, op. cit., 431.

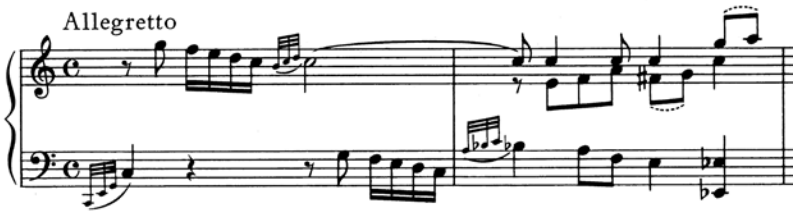
[84] C.P.E. Bach, op. cit., 430.

fantasy, its massive arpeggios and rapid running passages are reminiscent of the Baroque style and have elements of the free fantasy.[85] Reflecting similar design to *Fantasy K. 396* and showing influence from *Fantasy, K. 394*, the *Fantasy K. Anh.32* is a smaller keyboard solo fantasy containing only fourteen-measure fragments. In regards to the opening passage, although there are two large gaps between 1777, 1782, and 1789, the *Fantasy K. 396* and *K. Anh.32* were bound by similar openings and other related traits with the *Prelude (Capriccio) in C Major, K. 395* (1777).[86] For instance, the *Fantasy K. 396* broadens the same arpeggio with the same melodic contour from *K. 395*, and the same material is utilized in C major/minor, but with distinct musical development. Successively, the *Fantasy K. Anh.32* possesses a similar opening idea, resembling a continuation from *Fantasies K. 395* and *K. 396* (see Examples 20-22). By observing the similar material in the opening motives in the *Fantasy K. 396* and *K. Anh.32*, it is clear that W.A. Mozart sought to develop musical ideas from his already composed pieces.

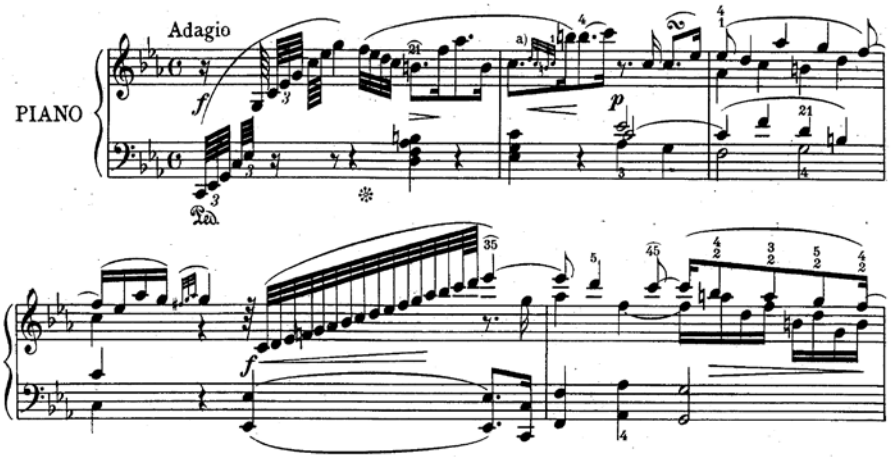
[85] The *Fantasy K. 396* was originally composed as a slow movement in a sonata for violin and piano. As one typical slow movement of the sonata, the *Fantasy K. 396* has the effect of free fantasy with no temporal change. W.A. Mozart did not finish this movement, and it was ultimately completed in a piano version with a given title of *Fantasy* by Maximilian Stadler.

[86] Note *Fantasy in C Minor, K. 396*, *Prelude* (*Fantasy*) *and Fugue in C Major, K. 394*, *Fantasy in C Minor, K. 396*, and *Fantasy in D Minor, K. 397* are all composed in 1782.

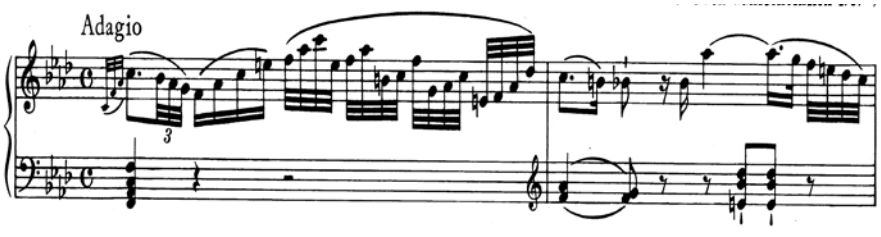
Ex.20 W.A. Mozart's *Prelude (Capriccio) in C Major, K. 395*, mm. 1-2



Ex.21 W.A. Mozart's *Fantasy in C Minor, K. 396*, mm. 1-5

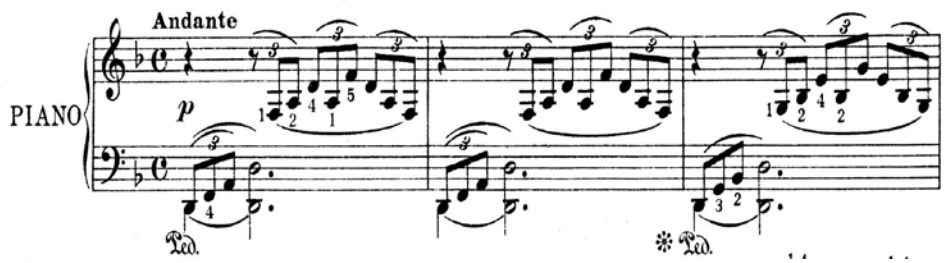


Ex.22 W.A. Mozart's *Fantasy in F Minor, K. Anh.32*, mm. 1-2

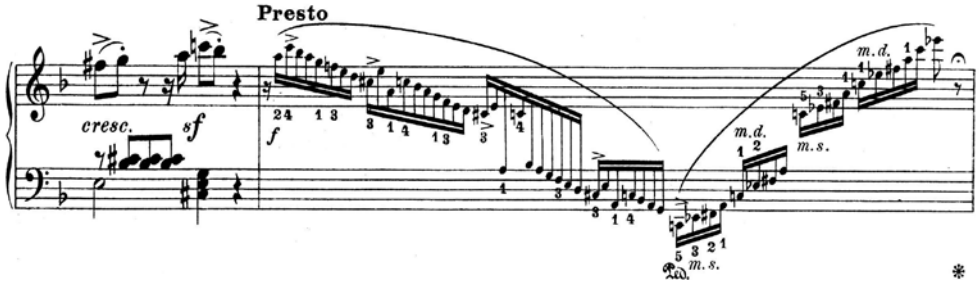


Other than the *Fantasy in C Minor, K. 396* and the *Fantasy in F Minor, K. Anh.32*, the *Fantasy in D Minor, K. 397* reveals the vivid spirit of the free fantasy through the use of sudden drastic sectional tempo changes in three main sections: *Andante*, *Adagio*, and *Allegretto*. Except for the three fast, unbarred *Presto* cadenzas, written with free-fantasy elements, it is a completely barred fantasy. The *Andante* section is constructed by an arpeggio passage that is harmonically stable, made wavy with a few pitch modifications, and plays the role of prelude to introduce the D-minor theme in the *Adagio* section. From the written-out arpeggio passage in the *Andante* and *Presto*, it is evident that the evolution W.A. Mozart employed by using free fantasy elements in the barred *Fantasy, K. 475*. *Fantasy K. 475* is a bridge connecting the different compositional styles in *Fantasy K. 394* and *K. 475*. Despite being an unfinished fantasy (according to W.A. Mozart's fantasies and preludes discussed earlier, along with Türk's observations), it is feasible to assume they also serve as a prelude to the other compositions (see Examples 23-24).

Ex.23 W.A. Mozart's *Fantasy K. 397 in D Minor*, mm. 1-3:
the opening arpeggio passage of the *Andante* section



Ex.24 W.A. Mozart's *Fantasy K. 397 in D Minor*, mm. 33-34:
the *Presto* with the free-fantasy elements



In sum, the overlapping relationship of W.A. Mozart's preludes and fantasies, written over eighteen years, depict the evolution of a musical idea that was formed within the context of C.P.E. Bach's improvisational technique. W.A. Mozart's modulating preludes between 1776 and 1777 were unbarred, and do not end in the same key in which they started. Also written in 1777, the *Prelude (Capriccio)*, a peculiar piece, incorporates various sections featuring a modulating prelude, a regular prelude,

and a capriccio, all of which are characteristic of W.A. Mozart's later fantasies. Although W.A. Mozart's two paired *Fantasies K. 394* and *K. 475* show distinctive differences with one another between 1782 and 1785, the unfinished *Fantasy K. 397*, written between the two is a clearer pivot point in which his style becomes more attuned to the Classical period. Finally, though W.A. Mozart's two unfinished keyboard fantasies, the *Fantasy in C Minor, K. 396* and the *Fantasy in F Minor, K. Anh.32*, are almost incompatible with C.P.E. Bach's description of free fantasies, they still share some idiosyncrasies. As W.A. Mozart mentioned, "Whoever among us knows the proper things has learned them from [C.P.E. Bach]."[87] The resulting aesthetic changes may have consequently influenced Türk to summarize the definition of the fantasy, capriccio, and prelude in the late eighteenth century. W.A. Mozart's preludes and fantasies may have served as a series of pieces that illustrate a bridge between old compositional techniques and new innovations, paving the way towards compositions in the Romantic period.

[87] Geiringer, op. cit., 198-199.

CHAPTER 5

CONTRIBUTION OF W.A. MOZART'S FANTASIES AND PRELUDES

The history of the musical fantasy is complex, due to many factors. Composers and performers had to adjust to the changing social conditions in eighteenth- and nineteenth-century Europe during which time artistic output was influenced by the philosophy of Enlightenment and the Industrial Revolution. Observing J.S. Bach's *Chromatic Fantasy and Fugue, BWV 903* and W.A. Mozart's *Fantasy and Sonata, K. 475/457*, along with other supporting written materials from this specific period of time, one can see a bridge between eighteenth- and nineteenth- century fantasies, particularly those written by German composers. The purpose of this research is to provide historical and musical context for understanding the development and the essential meaning of the fantasy genre, which therefore benefits performers' interpretation.

The fantasy is highly involved with creative imagination and is shaped by ideas driven by the desire in the human mind to form a real-world object. Fantasy exists everywhere. According to the *Oxford English Dictionary*, fantasy closely relates to imagination. It is "the process or the faculty of forming mental representations of things

not actually present."[88] People may be used to the words and manners specific to their art form and may easily forget or be ignorant of the exact origin of the word. Simply put, it reflects the spirit of improvisation inherent in any creative act. The term "fantasy" carries the meaning "to make (thoughts, including ideas or imagination) visible," as associated with ancient Greek religious beliefs.[89] Owing to the interest of European philosophers centuries later, Greek philosophy and mythology were incorporated into the culture of fifteenth-century Europe, and the concept of a musical fantasy started to develop in music.

Music fantasies take a certain amount of technical skill for composers to be able to express their individuality. In consideration of their nature, improvisational fantasies must have been performed before they appeared in manuscripts or printed collections. The earliest fantasies date from at least the sixteenth century, and records exist of keyboardists developing their improvisational skills and performance practice in compliance with pedagogical doctrines. In addition, a description of the early

---

[88] *The Oxford English Dictionary Online*, s.v. "Fantasy | phantasy, n."

[89] It was, along with the mythology, therefore applied into Greek tragedy and worship service and was able to be discovered in the records of literature and architecture. The Greek rhetorician Dionysius of Halicarnassus (c. 30 BC) wrote an essay on literary composition, *De compositione verborum.* He drew on a number of earlier sources including Plato, Aristotle, Isocrates, Cicero, the author of the *Ad Herennium*, and the music theories of Aristoxenus. Dionysius created a program for future orators linking speech to music arguing that phrases must possess melody, rhythm, variety and appropriateness. He believed in the artful blending of a variety of styles into a single, harmonious and beautiful product. Quintilian and Nietzsche were among later authors whose writing on music was greatly influenced by Dionysius. I wish to thank Dr. Susan Weiss for sharing this information with me.

developing stage of the keyboard fantasy at that time states that the musical fantasy was the most crafted of compositions:

> It seemed perfectly natural to associate the aspect of "highest achievement" with the most elaborate style of composed music of that time, namely the style of imitative counterpoint of the Franco-Flemish school. Individually, the form of the fantasia also demanded a certain degree of originality from the composer.[90]

Ideally, fantasies should be high-end creations that involve the composer's and the performer's highest intelligence. From an historical perspective, this passage implies that the fantasy was originally influenced by the polyphonic vocal motet. The motet was representative of the international Franco-Flemish school during the Renaissance. The musical fantasy possesses an historical heritage, which extends to the seventeenth and eighteenth century as it continues to fuse various traits of developing keyboard techniques.

[90] Dirksen, op. cit., 22.

The Heritage of the Fantasy in Eighteenth-Century Germany

Keyboard fantasies prior to the eighteenth century varied according to composers' personal aesthetics and different stylistic changes.[91] Through this evolutionary process, and along with early tuning systems and performance practice, the improvised fantasy became an introduction to the paired composition genre—first as a prelude, then as a fugue, and even as an independent character piece.

The eighteenth-century German fantasy was subsequently classified into two categories, strict and free, as cited in C.P.E. Bach's and D.G. Türk's treatises. C.P.E. Bach was able to create the "free fantasy" and was influenced by J.S. Bach, who possibly developed an "uncontrolled storm and stress" style of a fantasy (prelude). J.S. Bach was innovative in fusing older and international styles into his compositions. C.P.E. Bach apparently received training in the Baroque fashion and experimented with unclear modulations with sensitive and expressive melodies. As a result, C.P.E. Bach used the *Chromatic Fantasy* as a compositional model and possibly fused the French *prélude non mesuré* to define his free fantasy genre in the treatise, *Essay on the True Art of Playing Keyboard Instruments*.

[91] Elena Letnanova, *Piano Interpretation in the Seventeenth, Eighteenth, and Nineteenth Centuries: A Study of Theory and Practice Using Original Documents* (Jefferson, N.C.: McFarland, 1991), 5.

C.P.E. Bach and W.A. Mozart were instrumental in shaping and transforming the fantasy genre while also defining their own styles.[92] According to C.P.E. Bach, the fantasy is better when performed on piano and clavichord because these instruments allow for expressive nuances not possible on the harpsichord.[93] The improvisation of his newly invented free fantasies contain bold modulations and may be written completely unbarred or with unbarred sections built on figured bass. However, because it is difficult to make arpeggiated broken chords using foot pedals on the organ, the preludes and fantasies composed by W.A. Mozart for the clavichord, harpsichord, and pianoforte are very different from his contrapuntal organ works. Additionally, W.A. Mozart's existing fantasies and preludes, composed between 1776 and 1789, still maintain an improvised nature, and were gradually shaped with clear melodies, themes, and simple harmonies. Although W.A. Mozart is clearly within the Classical era, some of his preludes and fantasies are still reminiscent of the Baroque period, with newer Classical elements.

All of W.A. Mozart's fantasies and preludes fall into the period in which C.P.E. Bach's and Türk's treatises (1752/1762 and 1789) were written. Importantly, they adhere to Türk's observation that there is a close, subtle and crucial relationship between the

[92] It was Türk who observed the relationship between the prelude and fantasy and summarized in his treatise even though none of his compositions written in strict or free fantasy survive.

[93] C.P.E. Bach, op. cit., 431.

fantasy and prelude during the late eighteenth century.[94] In his writing, it is clear that W.A. Mozart admired J.S. Bach and C.P.E. Bach and adapted knowledge of the free fantasy from C.P.E. Bach's works. He gradually modified most of what was considered conventional fantasy writing to create his own personal work.

By screening W.A. Mozart's preludes and fantasies for personal modification and stylistic changes, C.P.E. Bach's influence became less obvious in each of W.A. Mozart's subsequent works despite maintaining improvisational traits and similar opening motives. As an experienced improviser, he preferred to use previously written pieces as raw material for improvisation and to develop his fantasies and preludes. It is possible that W.A. Mozart had intentions to pair his preludes and fantasies with other random compositions in performance with improvisation, regardless of the restrictions on free or strict fantasy criteria. When comparing W.A. Mozart's preludes and fantasies, there are not many differences in content despite the differing titles of "fantasy" versus "prelude."

[94] Specifically, the *Prelude (Capriccio) in C Major, K. 395* serves as the best example of Türk's statement that the prelude is "in common with the fantasie."

Conclusion

In short, musical fantasies express ideals that are filled with imagination and improvisation that dominate musical form and structure. In the course of music history, stylistic features may be changed according to the aesthetics of different periods. In terms of the musical fantasy, the essence of improvisational character remains unchanged. In this genre, composers were free to write their own compositions based on personal imagination and inspiration, and the music is subsequently an ever-changing and colorful kaleidoscope. Throughout the eighteenth century, fantasies were marked by the use of wide-ranging broken chord modulations. Johann Sebastian Bach, Carl Philipp Emanuel Bach, and Wolfgang Amadeus Mozart established the fantasy style, which was developed and can be found in later German keyboard compositions, by such composers as Ludwig van Beethoven and Johann Nepomuk Hummel (1778-1837). The fantasy pieces written by Felix Mendelssohn (1809-1847) and Robert Schumann (1810-1856) in the nineteenth century also reflect C.P.E. Bach's and W.A. Mozart's templates. These models contributed to the development of Romantic-era ideals and flourishes, which still echo in today's musical fantasy. As a musical interpreter, one can look back to the eighteenth-century musical fantasy as one that embraces great openness and freshness of spirit.

APPENDIX

SELECTED FANTASIES AND PRELUDES

J.S. Bach's Free Fantasy (circa 1715)

- *Chromatic Fantasy and Fugue in D Minor, BWV 903*

C.P.E. Bach's Free Fantasies (1720-1762)

- *Free Fantasy Allegretto in D Minor, Wq. 114/7*
- *Free Fantasy in D Major, H. 160, Wq. 117/14*

W.A. Mozart's Modulating Preludes (1776-1777)

- *Modulating Prelude F-C, K. 624* (incl. *Modulating Prelude F-E, K. deest*)

W.A. Mozart's Fantasies and Preludes from Paired Compositions (1782-1785)

- *Prelude (Fantasy) and Fugue in C Major, K. 394* (1782)
- *Fantasy (Prelude) and Sonata in C Minor, K. 457/475* (1782-1785)

W.A. Mozart's Fragmented Fantasies and Prelude

Prelude (Capriccio) in C Major, K. 395 (1777)

Fantasy in C Minor, K. 396 (1782)

Fantasy in D Minor, K. 397 (1782)

Fantasy in F Minor, K. Anh.32 (1789)

BIBLIOGRAPHY

1. Books

Apel, Willi. *Masters of the Keyboard: A Brief Survey of Pianoforte Music*. Cambridge: Harvard University Press, 1947.

—. *The History of Keyboard Music to 1700*. Translated by Hans Tischler. Bloomington: Indiana University Press, 1972.

Buelow, George J. *A History of Baroque Music*. Bloomington: Indiana University Press, 2004.

—. *Thorough-Bass Accompaniment According to Johann David Heinichen*. LA: University of Nebraska Press, 1966.

Hill, John Walter. *Baroque Music: Music in Western Europe, 1580-1750*. New York: W.W. Norton, 2005.

Letnanova, Elena. *Piano Interpretation in the Seventeenth, Eighteenth, and Nineteenth Centuries: A Study of Theory and Practice Using Original Documents*. Jefferson, N.C.: McFarland, 1991.

Lockwood, Lewis. *Music in Renaissance Ferrara 1400-1505: The Creation of a Musical Center in the Fifteenth Century*. Cambridge: Harvard University Press, 1984.

Mercado, Mario Raymond. *The Evolution of Mozart's Pianistic Style*. Carbondale: Southern Illinois University Press, 1992.

Praetorius, Michael. *Syntagma Musicum III*. Translated by Jeffery T. Kite-Powell. New York: Oxford University Press, 2004.

Sancta Maria, Thomás de. *The Art of Playing the Fantasia*. Edited by Almonte C. Howell, Jr. and Warren E. Hultberg. Pittsburgh: Latin American Literary Review Press, 1991.

Schulenberg, David. *The Keyboard Music of J.S. Bach*. 2nd ed. New York: Routledge, 2006.

Spitta, Philipp. *Johann Sebastian Bach: His Work and Influence on the Music of Germany, 1685-1750, Vol. III*. Translated by Clara Bell and J.A. Fuller-Maitland. London: Novello, 1992.

Walker, Paul. *Theories of Fugue from the Age of Josquin to the Age of Bach*. Rochester: University Rochester Press, 2004.

2. Part of the Book (Articles)

Komlos, Katalin. "'Ich praeludirte und spielte Variazionen': Mozart the Fortepianist." In *Perspectives on Mozart Performance*, edited by Larry Todd and Peter Williams, 27-54. Cambridge: Cambridge University Press, 1991.

Lee, Douglas A. "C.P.E. Bach and the Free fantasia for Keyboard: Deutsche Staatsbibliothek Mus. Ms. Nichelmann In." In *C.P.E. Bach Studies*, edited by Stephen L. Clark, 176-184. Oxford: Clarendon Press, 1988.

Wheelock, Gretchen A. "Mozart's Fantasy, Haydn's Caprice: What's in a Name?" In *The Century of Bach and Mozart: Perspectives on Historiography, Composition, Theory, and Performance*, edited by Sean Gallagher, Thomas Forrest Kelly, and Christopher Wolff, 317-341. Cambridge, Mass.: Harvard University Department of Music, 2008.

3. Letter Collections and Treatises

Bach, Carl Philipp Emanuel. *Selected Keyboard Works, Book II: Miscellaneous Pieces*. Edited by Howard Ferguson. England: Associated Board of the Royal School of Music, 1983.

Geiringer, Karl. *Joseph Haydn and the Eighteenth Century: Collected Essays of Karl Geiringer*. Edited by Robert N. Freeman. Warren, MI: Harmonie Park Press, 2002.

Griesinger, Georg August. *Haydn: Two Contemporary Portraits.* Edited by Albert Christoph Dies and Vernon Gotwals. Madison: University of Wisconsin Press, 1968.

Morley, Thomas. *A Plaine and Easie Introduction to Practicall Musicke*. Westmead, Farnborough, Hants: Gregg International Publisher Limited, 1971.

Mozart, Wolfgang Amadeus and Leopold. *The Letters of Mozart and His Family*. Edited by Emily Anderson. 1st American of 1985 rev. ed. New York: Norton, 1989.

Türk, Daniel Gottlob. *School of Clavier Playing*. Translated by Raymond H. Haggh. Lincoln: University of Nebraska Press, 1982.

4. Figures and Scores

Bach, Johann Sebastian. *Chromatische Fantasie und Fuge*. Edited by Edwin Fischer. Berlin: Verlag Ullstein, 1928.

Bach, Carl Philipp Emanuel. *Selected Keyboard Works, Book II: Miscellaneous Pieces*. Edited by Howard Ferguson. England: Associated Board of the Royal School of Music, 1983.

Dirksen, Pieter and Harald Vogel, ed. *Complete Keyboard Works Vol. 2*, by Jan Pieterszoon Sweelinck. Wiesbaden: Breitkopf and Härtel, 2005.

Morley, Thomas. *Fantasia* in *The Fitzwilliam Virginal Book*. Edited by J.A. Fuller Maitland and W. Barclay Squire. London and Leipzig, Breitkopf and Härtel, 1899.

Mozart, Wolfgang Amadeus. *Fantasy and Sonata C Minor, K 475/457*. Edited by Ulrich Leisinger and Heinz Scholz. Aufl. Wien: Wiener Urtext Edition, 2000.

—. *Miscellaneous Works for Piano Vol. 2*. Edited by Wolfgang Plath and Wolfgang Rehm. Revid. Aufl. Kassel: Bärenreiter Urtext, 2005.

—. *Piano Pieces: Selection*. Edited by Ullrich Scheideler and Walther Lampe. Rev. ed. München: G. Henle, 2006.

5. Online Database and Resource

Arnold, Denis, and Lalage Cochrane. "Fantasia." *The Oxford Companion to Music*. *Oxford Music Online*. Oxford University Press, July 29, 2015. http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e2413

"Fantasy | phantasy, n." *The Oxford English Dictionary Online*. June 2015. Oxford University Press, July 28, 2015. http://www.oed.com/view/Entry/68119?rskey=h64Wxo&result=1

BIBLIOGRAPHY (cont.)

"Imagination, n." *The Oxford English Dictionary Online*. June 2015. Oxford University Press, July 28, 2015. http://www.oed.com/view/Entry/91643?redirectedFrom=imagination

Ledbetter, David, and Howard Ferguson. "Prelude." *Grove Music Online*. *Oxford Music Online*. Oxford University Press, July 29, 2015. http://www.oxfordmusiconline.com/subscriber/article/grove/music/43302

Rabkin, Eric S. "Abstract." In *Fantasy and Science Fiction: The Human Mind, Our Modern World*. Coursera, July 29, 2015. https://www.coursera.org/course/fantasysf

Tomita, Yo. "The Inventions and Sinfonias BWV 772-801." In *J. S. Bach: Inventions and Sinfonias, Masaaki Suzuki, Harpsichord, BIS-CD-1009*. BIS Records. July 29, 2015. http://www.qub.ac.uk/~tomita/essay/inventions.html#2

Vogel, Dan. "The Fancy and the Imagination and the Teaching of Literature." *Journal of Aesthetic Education.* vol. 15, no. 1 (Jan., 1981): 5-15. University of Illinois Press, July 29, 2015. http://www.jstor.org/stable/3332206

Wolf, Eugene K. "The Rediscovered Autograph of Mozart's Fantasy and Sonata in C Minor, K. 475/457." *The Journal of Musicology*. vol. 10, No. 1 (Winter, 1992): 3-47. University of California Press, July 29, 2015. http://www.jstor.org/stable/763559